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The Role Academic Deans Play in Public Higher Education Fundraising

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THE ROLE ACADEMIC DEANS PLAY IN PUBLIC HIGHER EDUCATION FUNDRAISING

by

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DEDICATION

Shoot for the moon. Even if you miss, you'll land among the stars.

This dissertation is dedicated to my family. I cannot begin to express my gratitude for your support, encouragement, love and optimism to achieve my educational goals.

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TABLE OF CONTENTS

Page

ABSTRACT

Philanthropy in higher education consists of gifts of financial funding from individuals, alumni, community advocates, parents, private companies, businesses, or foundations, to support a spectrum of items including scholarships, fellowships, academic programs, professorships, research, or development. In the 21st century, most public and private higher education institutions grapple with a philanthropic agenda. Although philanthropy for higher education dates back to the 1630s, it was not until the past few decades more attention was given to academic deans and their role in fundraising. Thus, there is a push for academic deans to work in tandem with the institutional advancement offices to be successful in fundraising to create institutional growth and opportunities. The purpose of this study was to understand the academic deans' role in fundraising from the perspective of the deans and to gather insights on how to better prepare academic deans for fundraising. Data were collected using a basic qualitative methodology and a series of two semi-structured interviews. Data were analyzed via the constant comparative and cross-case methods of data analysis. Findings indicated that academic deans do not receive professional development in fundraising prior to being appointed dean. Therefore, professional development in fundraising is needed before becoming dean and continued during the deanship, so that academic deans can advance their fundraising practice. Academic deans cannot do all of the fundraising alone and they need to build a culture of fundraising with their development officer(s) and faculty. Academic deans are the best people to build and guide donor relationships by practicing patience and active listening while fulfilling the institution's mission. The discussion includes explication of findings, implications, limitations, and recommendations for further research.

CHAPTER 1: INTRODUCTION

Philanthropy has defined and influenced American higher education since the founding of Harvard in 1636 (Drezner, 2011). According to *Webster's Dictionary*, philanthropy means "love of mankind" (Webster & Slater, 1828). Today, philanthropy in higher education can be defined as the gift of financial funding from individuals, alumni, community advocates, parents, private companies, businesses, or foundations, to support a spectrum of items including scholarships, fellowships, academic programs, professorships, research, or development (Alphin et al., 2015; Drezner, 2011). Embraced early by private universities, philanthropy has more recently become a concern of public universities as well (Merchant, 2014). Philanthropy is transforming the field of public higher education. According to Elliott (2005), gone are the days that public institutions are able to rely heavily on legislative appropriations, whereas now public support is merely assisting institutions.

In the 21st century, public higher education institutions are under intense pressure to conform to new fundraising policies and pressures prompted by changing demographics, increased competition, and reduced state and federal funding (Chan, 2016). According to Alexander (2000), due to new economic motivations which have dramatically changed over the last decade, higher education institutions are feeling pressures to become more accountable, efficient, and productive. As federal and state financial support continues to decline while higher education institutions are held more accountable, philanthropic support will be needed to fill the resource gap (Chan, 2016; Daily, 2013; Worth, 2012).

No longer are donors merely altruistic and trusting. With a shift in culture and changing demographics, major donors have created a new breed of philanthropy. Venture philanthropists view their donations as investments and want to see their impact on the institution (Frumkin,

2001; Many, 2009; Merchant, 2014). Thus, fundraising for higher education has gained greater strategic importance.

Problem Statement

Over the past two decades, competition for higher education resources has increased and philanthropy has taken on dramatically more importance. Drezner (2011) asserted that "Philanthropy was once used exclusively as a margin of excellence for American higher education. Today, it is central to the mere existence and daily function of the academe" (p. 88). Additionally, the increasing importance of fundraising has led the nearly 4000 degree-granting institutions in the United States to compete for the same donations (Drezner, 2011).

As a result, higher education institutions are increasingly requiring those who work outside of their institutional advancement offices to participate in fundraising to create a revenue stream that will offset funding demands. Consequently, the most significant change is for academic deans. Academic deans are now expected to fundraise (Krahenbuhl, 2004). However, the majority of academic deans have built careers as scholars and are not prepared fundraise on behalf of the institution. Few academic deans have prior experience in development or adequate knowledge of the theory and practice of successful development operations (Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). The role that academic deans play in higher education fundraising has been severely neglected as a topic of scholarly research.

Purpose Statement

The purpose of this research is to understand academic deans' role in fundraising from the perspective of the deans, and to gather insights on how to better prepare academic deans for fundraising.

Research Questions

The study will be guided by the following five research questions:

1. In the academic deans' current roles, what do they do related to fundraising?

2. How should academic deans be fundraising?
3. What are the barriers for academic deans who engage in fundraising?
4. How do academic deans learn to fundraise?
5. How should academic deans be prepared to fundraise?

Overview of Methodology

The goal of this qualitative research study is to better understand the role of academic deans in public higher education fundraising and their preparation for this role. To achieve this goal, the study uses a basic qualitative research approach. Qualitative research affords the researcher the opportunity to determine how meanings are formed by discovering the inner experience of participants (Corbin & Strauss, 2014). Drawing from the current literature will help frame the study and identify patterns or commons themes that cut across the data (Merriam, 2002).

Limited research exists on academic deans' fundraising role in higher education institutions, and this research addresses that gap. This study consists of interviews of four academic deans from universities that are part of the State University System of Florida (SUS). Criteria for the selection of participants were that they be deans with reputations as successful fundraisers, represent a variety of academic disciplines, have a minimum of three years' experience in public universities, and represent diverse demographic backgrounds. The study was conducted through a series of interviews. Data analysis employed the constant comparative process, which is used to develop concepts by coding and analyzing the data (Taylor & Bogdan, 1998). The constant comparative process consists of a three-step process: open coding, axial coding, and selective coding (Corbin & Strauss, 2014). After the patterns were captured, interpretation included summarizing the overall findings, comparing the findings to the current literature, discussing my personal view of the findings, and stating their limitations and future research (Marshall & Rossman, 2006).

Significance of the Research

Although charged with the intellectual leadership of their colleges, academic deans are also expected to be fiscal experts, fundraisers, politicians, and diplomats (Wolverton et al., 2001). Currently, academic deans are expected to work in tandem with institutional advancement offices to be successful in fundraising. For many academic deans, fundraising is part of the job that is not well defined or understood, however, academic deans increasingly realize the expectation that they need to secure external resources to support the university. According to Hodson (2010), fundraising leadership from academic deans is longer an extracurricular activity. Academic deans need to play a critical role in developing and sustaining a vibrant culture of philanthropy. The significance of the study was to highlight a need for professional development of current and future deans in order to increase their effectiveness as fundraisers for their institutions.

Definitions

The following terms are defined to provide context and clarity for the research study.

Academic dean. The dean is part of the academic administration leadership, who oversees and manages the affairs of a college. The competing responsibilities for an academic dean can include, but not limited to, setting the vision of the college, overseeing the academic programs, managing the personnel and budget, as well as, setting and leading fundraising priorities.

Development Officer. Also known as the fundraiser for a higher education institution, the development officer develops and implements a strategic plan to raise funds for their organization in a cost-effective and time-efficient manner. Dependent on the institution's fundraising model, centralized or decentralized, the development officer could have a direct report to the academic dean.

Donation. Typically money that is given to a nonprofit and can be counted as a tax deductible for the donor. According to the IRS, no exchange of services or goods can be made for a donation. Within this study, the term donation and gift can be used interchangeably.

Institutional Advancement. A division of the higher education institution that is responsible for fundraising processes and procedures. Institutional Advancement's mission is to help support students, alumni, parents, faculty, staff and friends by raising funds for scholarships, academic programs, faculty support and research, unrestricted funds and much more. Within this study, the term advancement and development can be used interchangeably.

Unrestricted Funds. These funds can be used for any purpose to support a nonprofit organization. In today's higher education institutions, unrestricted funds can be the rarest donations, however are critical to help support the daily operations of a university.

Summary

This chapter introduced the importance of better understanding of the role of academic deans in public higher education fundraising and their preparedness for that role. The study utilizes a basic qualitative research approach and consists of interviewing four academic deans from SUS institutions. Since there exists limited research on philanthropy in higher education, as well as research on roles academic deans play in fundraising, this research study addresses a gap in literature and contributes to the larger body of knowledge that informs fundraising for public higher education institutions. Moreover, this research could serve as a guide for higher education institutions to recruit and develop academic deans' philanthropic efforts.

CHAPTER 2: REVIEW OF LITERATURE

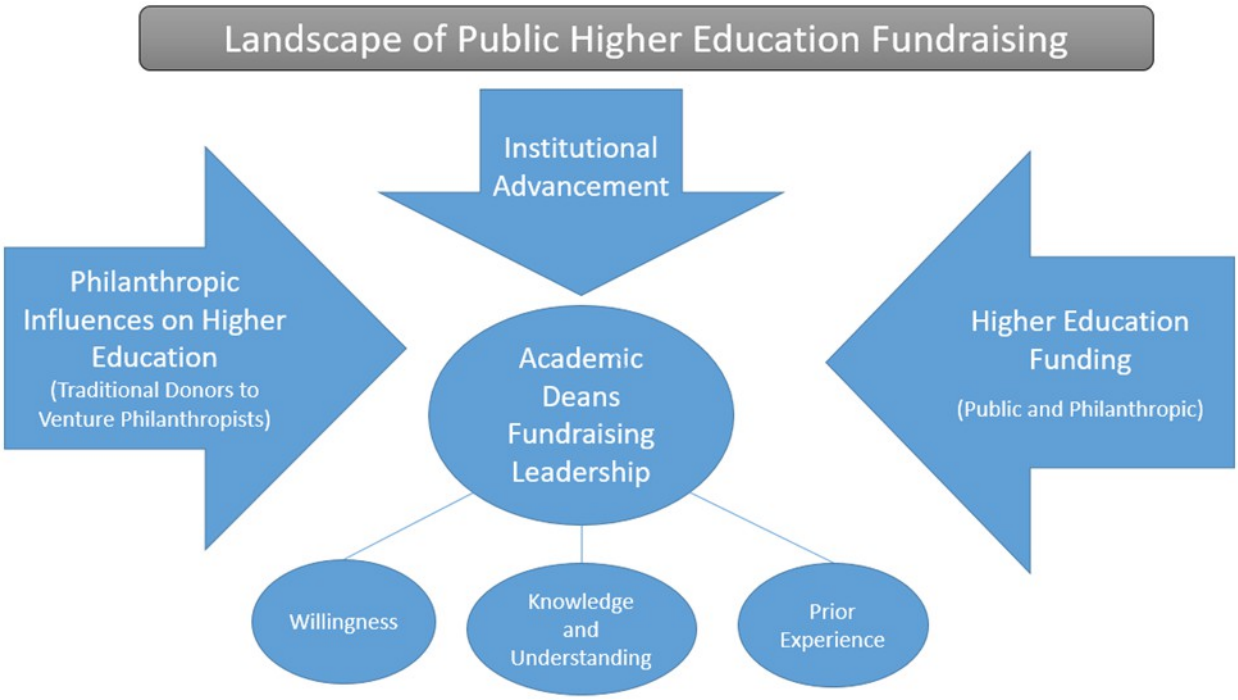
This chapter begins with a conceptual framework that describes the current landscape of public higher education. The framework includes two types of funding upon which higher education institutions rely, public and philanthropic. Next, this literature review discusses how philanthropy has evolved to meet the needs of the changing donor population and examines the institutional pressures that impact higher education fundraising. Lastly, it addresses how the role of academic deans has expanded to include fundraising leadership.

Conceptual Framework

To make meaning of the fundraising role of academic deans in public institutions of higher education, this research draws on several bodies of literature (Figure 1). Higher education funding is in constant flux and philanthropic support is needed to fill resource gaps (Chan, 2016; Daily, 2013; Worth, 2012). Although philanthropy for higher education dates to the 1630s, it was not until the past few decades that attention has been paid to academic deans' role in fundraising (Masterson, 2010; Mercer, 1997). Additionally, with shifts in culture and demographics, a new breed of major donors have created a new kind of philanthropy. No longer do donors fit the traditional stereotype of being altruistic and trusting. Instead, venture philanthropists view their donations as investments and want to see their impact on the higher education institution (Frumkin, 2001; Many, 2009; Merchant, 2014).

Figure 1

Factors that Affect the Role of Academic Deans in Fundraising



Higher Education Funding

Since the beginning of the Great Recession of 2008, public higher education has faced external forces and pressures that have threatened the very existence of certain institutions (Freedman, 2017; Selingo et al., 2018). The external environment has become increasingly complex, with more demands placed upon the university by an increasingly diverse group of stakeholders (De Boer & Goedegeburre, 2009).

Since higher education is an economic driver in communities, the demand for college-educated workers has significantly increased, thus motivating more people to participate in some form of post-secondary education. More students are attending college than ever before. Twenty million students were enrolled in degree-granting institutions of higher education, which was more than double the enrollment of 8.5 million in 1970 (Snyder et al., 2016). While more people are pursuing postsecondary education, tuition to attend a public university has sharply climbed

over the last three decades. Dickerson (2004) referenced that the increased demand drives up costs, as more campuses compete for better students and more students want to major in expensive academic programs.

Calhoun (2006) noted that public higher education systems expanded in the 20th century based on growing state funding. Now cutting state funding for higher education has become an annual hallmark of many legislative sessions (Hensley, Galilee-Belfer, & Lee, 2013). The Great Recession of 2008 resulted in legislatures and citizens reassessing their priorities and preparing financially and organizationally for an uncertain future. Large state funding cuts have led to both steep tuition increases and institutional budget cuts that diminish the quality of education available to students at a time when a highly educated workforce is more crucial than ever to the nation's economic future (Mitchell et al., 2015).

In addition to declines in state funding, the federal government has reduced its support for higher education institutions. Financial support for higher education at both the state and federal levels is less urgent than other budget priorities, like Medicaid (Dickerson, 2004; Smith, 2014). Selingo et al. (2018) argued, "For the first time in recent history, more than half of the state's institutions relied more heavily on money from students and parents than from state and local government" (p.2).

Thus, consumers of higher education face a higher price tag. Tuition has increased by 2.9 to 3.1 percent from 2017 to 2018 (American Association of State Colleges and Universities, 2018). In 2017-2018, on average the overall estimated cost per year for a full-time student attending a public two-year institution was $17,500, a public four-year in-state institution was $25,290 and a private four-year institution was $50,900 (Baum, 2018). These rising costs are associated with reduced funding from states which causes tuition and fees to increase (Alexander, 2000).

Baum (2018) and the American Association of State Colleges and Universities (2018) recognized the impact of college affordability since higher education is an investment that directly impacts American society and is a catalyst for economic growth. In response to the challenges faced by higher education institutions, including rising student debt, lower government funding, growing inequality, job readiness, and changing delivery methods (Freedman, 2017), university presidents have increased their focus on three primary factors, cost, quality, and access (Immerwahr et al., 2008).

The benefits of higher education create a rich environment that develops students intellectually, culturally, professionally, and personally (McMahon & Walter, 2009). Investing in higher education directly impacts society by contributing to innovation, preparing the future workforce, and providing a catalyst for economic growth (Alphin et al., 2015; Baum, 2018; American Association of State Colleges and Universities, 2018). Higher education is more valuable than ever before, however, who is investing to help pay for it? Immerwahr, Johnson, and Gasbarra (2008) recommended,

> In order to meet the educational demands of the future, much of the heavy lifting will need to be done by governments reinvesting more money in higher education, by students and their families paying more in tuition and fees (offset by more financial aid), and by private industry shouldering more of the burden through partnerships and philanthropy. (pp. 4-5)

Understanding the behaviors of public universities has long been a subject of study since institutions are a curious mix of public and private entities (Fowles, 2014). Alphin (2015) noted that higher education institutions are funded by a combination of tuition, investment income and support from private and public organizations comprised of alumni, foundations and strategic corporate partnerships. Because higher education is both costly and important, there are

legitimate public policy reasons to hold colleges and universities accountable for using funds appropriately (Zusman, 2005).

Public Funding

Both local and state tax revenue help fund public colleges and universities. However, other budget priorities compete with higher education for government dollars. With greater expectations being placed on higher education, performance-based accountability regimes have become increasingly prevalent. Many states have adopted funding policies that seek to tie institutional funding to objective measures of performance (Rabovsky, 2012). As of June 2020, forty-one states were operating with performance-based funding programs. Ultimately, one of the goals of performance funding initiatives is to improve the educational experience for students, so that students graduate with a degree that adequately prepares them for the challenges of today's workforce. Although the content of performance funding policies varies significantly across the states, performance funding connects state appropriations directly to a university's performance on outcomes such as student retention, graduation, transfer and job placement (Dougherty et al., 2014). For example, in January 2014 the State of Florida approved a performance-based funding model which includes ten metrics that evaluate Florida institutions on a range of issues. This model has four guiding principles: 1) use metrics that align with SUS strategic goals; 2) reward excellence or improvement; 3) have a few clear, simple metrics; and 4) recognize that each institution has a unique mission.

According to Selingo et al. (2018), the decade ahead will demand that higher education institutions be more strategic, innovative, flexible and entrepreneurial to supplement their limited financial resources. Funding cuts coupled with a shrinking pool of higher education endowments that occurred during the stock and housing markets declines of the past two decades triggered a financial perfect storm in higher education. Increasing philanthropic efforts will help weather the storm (Drezner, 2011). Prior to the twenty first century, public institutions raised private funds to

support growth and improvement, whereas now, private funding for public institutions supports operating budgets and institutional growth and opportunities (Worth, 2012; Zusman, 2005). As a result, universities look to institutional advancement offices for support in creating and diversifying funding opportunities for improvement.

Private Funding

No higher education institution exist today without some form of private funding (Bernstein, 2013; Chan, 2016). Universities use sophisticated fundraising vehicles such as the annual fund, major gifts, planned giving, and corporate and foundation relations to qualify, cultivate, solicit and steward donors (Alphin et al., 2015; Drezner, 2011).

Schervish and Havens (1998) argued that a greater understanding of philanthropy in a higher education setting is critical because of increased reliance on voluntary giving at all universities. Every public and private higher education institution grapples with a philanthropic agenda in the 21st century (Chan, 2016). With universities in competition for philanthropic dollars, fundraising has gained greater strategic importance. According to Drezner (2011), nearly 4,000 private and public universities compete for the same donations. Duronio and Loessin (1991) noted,

> The competition for private dollars, both within the field of higher education and throughout the entire nonprofit world, is more vigorous now than ever before. For some institutions, doing well in this competition is no less than a matter of survival. For all institutions, competing successfully for private support provides the money to ensure institutional growth and strength. (p.1)

Until the last couple of decades, philanthropists believed that public higher education was solely supported by tax dollars alone. A primary shift has occurred, to now understanding that higher education institutions need private investments. Kumashiro (2012) stated, “The roles of business and philanthropy have shifted, reconfigured, and converged over the past century,

therefore seeing the bigger picture of public education requires understanding the interrelated histories of philanthropic and corporate influence" (as cited in Boyce, 2013, p. 257).

Philanthropic Influences on Higher Education

Henry Rosso (2003) defined fundraising as the servant of philanthropy. The concept of servant of philanthropy, originally developed by the Puritans in the seventeenth century, has evolved into a complex and diversified practice. Russo argued that fundraising should never be undertaken simply to raise funds but it must serve the greater good. He described fundraising as a noble activity that guides contributors to add meaning to their lives. Both Rosso and Tempel et al. (2016) described the central themes of servant of philanthropy.

> Today more than ever, fundraisers need a philosophy of fundraising. The call for accountability, the need to inspire trust, the leadership of volunteers, the involvement of donors in their philanthropy, and the new approaches to philanthropy call for fundraisers to be reflective practitioners who center themselves with a philosophy of fundraising. (Rosso, 2003, p. 14)

Nonprofits' missions provide the opportunity to ask for philanthropic support. Philanthropy for higher education became a major movement in the late 1890s, influenced by the major philanthropists Andrew Carnegie and John Rockefeller who created private higher education institutions. Philanthropy was embraced early by private universities. Later public universities began to seek philanthropic support (Merchant, 2014). In the 1980s philanthropy began to transform the field of public higher education. "No single force is more responsible for the emergence of the modern university in America than giving by individuals and foundations" (Hall, 1993, p. 404).

Bernholtz (1999) identified catalysts that changed the field of higher education philanthropy: shifts in culture, changing demographics and creation of new wealth during the dotcom bubble (Many, 2009). The great wealth transfer of the dotcom bubble, estimated at $6

trillion, has been predicted to be given to nonprofit organizations, including higher education, through the mid 21st century (Drezner, 2011). "An entrepreneurial focus, greater emphasis on partnerships among business, government, and nonprofit sectors, and new wealth as well as new social innovation dramatically affected the philanthropic scene and therefore nonprofit organizations and fundraising" (Wagner, 2002, p. 343).

As private funding has become a vital source of revenue for public higher education institutions, a new type of donor has evolved (Boverini, 2006). Today's major donors are creating a new breed of philanthropy, due to the high level of engagement and involvement that they expect and demand (Boverini, 2006; Kumashiro, 2012; Marcy, 2001; Merchant, 2014). Merchant (2014) described the changing culture of philanthropy as transformational donors thinking far beyond altruism and more about their financial support as an investment. Not only have major donors evolved into transformational donors, but private foundations have also transformed themselves to play complementary roles to nonprofit organizations, government agencies, and businesses, in order to help society address public problems. According to Strickland (2007) transformational donors are interested in how institutions can build communities. Although transformational giving is not limited to higher education institutions, donors are more likely to support making transformational gifts to help reshape institutions. A step beyond transformational donors, is a newer breed of philanthropy called venture philanthropy.

Venture philanthropy provides a new vision and innovative methods that can help leverage the effectiveness and impact of financial support. Historically, philanthropic giving to higher education supported the work of individuals and their educational projects. In contrast, a venture philanthropist views funding as a way to influence higher education and to gain access to the work in progress (Kumashiro, 2012). The concept of venture philanthropy builds upon the venture capital model in that it provides long-term support and large amounts of unrestricted

financial funding. Many (2009) defined the concept of venture philanthropy as refocusing charitable foundation giving away from a focus on traditional programmatic investments to a focus on building organizational capacity and growth.

Although venture philanthropy and traditional philanthropy share a common goal to support the mission of the institution, venture philanthropy challenges institutions to modify their practices with funding that is performance-based and outcome-driven (Grossman et al., 2013). Venture philanthropy influences both how projects are selected and funded and how they are managed (Frumkin, 2003). Boverini (2006, p. 98) pointed out that "An important characteristic of higher education that has plagued these high-impact philanthropists is an existing rigidity within the academy that traditionally does not allow for this type of input of ideas from donors." Venture philanthropists provide not only means but their expertise, in the area of organizational capacity building. They want to set benchmarks, bring their ideas and goals to the university, and see the return on their investment, whereas traditional donors solely support the needs of a university (Merchant, 2014).

The venture philanthropy model emphasizes a long-term funding commitment designed to help organizations develop and grow (Frumkin, 2001). Kumashiro (2012) noted that traditional philanthropy sought to give back to society, whereas, venture philanthropy operates similar to venture capitalism with the goal to invest in capital that produces a greater return on investment. Venture philanthropy has prompted powerful discussions between organizations and venture philanthropists about how to create lasting social impact. Social return on investment is defined as a measurable benefit to society generated by the philanthropic investment. One example of social impact is awarding scholarship support to low-income students, which affords the students the opportunity to enroll in classes with the end goal of graduation. The prospects for higher education to benefit from the financial impacts of venture philanthropy are promising (Boverini, 2006; Marcy, 2001).

Mair and Hehenberger (2007) proposed that venture philanthropy is excellent for specific organizations, but it is not a replacement for traditional philanthropy. Since venture philanthropists will not replace traditional donors, Allen (2002) and Many (2009) suggested that institutions can utilize a hybrid that combines the traditional and venture philanthropy approaches and meet the demands of all types of donors. The hybrid approach gives donors with an entrepreneurial mindset the opportunity to make venture capitalism work to benefit the university.

Institutional Advancement

Universities view fundraising as necessary for academic excellence, and they look to institutional advancement programs for support in creating and diversifying sources of funding for improvement and to meet the challenges posed by shortfalls in government funding (Daily, 2013). Worth (2012) highlighted that institutional advancement programs enable institutions to do well in a competitive environment and to assist the whole sector of higher education to compete effectively for available resources.

Institutional advancement programs have one foot in the academic world and one in the community, where they promote the mission of the higher education institution (Kozobarich, 2000; Weerts & Hudson, 2009; Worth, 2012). Advancement professionals raise money, communicate with external community constituents, and link alumni back to the university (Kozobarich, 2000). Today universities have a vice president for advancement charged with increasing philanthropic support for the university. Further, most colleges have one or more development officers charged with collaborating with the academic dean to raise money for that college. According to Hall (1993), hiring effective development officers is a major concern.

> A good development officer will be entrepreneurial, will have a sense that he or she is representing the donor to the institution as much as representing the institution to the donor, and will often act as a broker between the institution and the donor (p.95).

In order to compete for the philanthropic dollar in the competitive funding environment of higher education, universities are challenged both to develop and retain effective directors of development and to break down barriers between faculty and development professionals.

Turnover in Fundraising

Turnover in the fundraising profession is an epidemic (Iarrobino, 2006). Researchers found that turnover was highest in the nonprofit sector, with an annual turnover rate of 3.1 percent, compared to 2.7 percent in the for-profit sector and 1 percent in the public sector (Cappelli, 2005). Duronio and Tempel (1997) and Bell and Cornelius (2014) argued that turnover is an epidemic not only because of the direct costs of turnover but because of the indirect costs of turnover in fundraising staff, including the loss of relationships with donors, potentially resulting in the loss of gifts for an organization. Due to the high turnover of development officers in nonprofit organizations, as well as the high demand to bring in private philanthropic support for higher education institutions, there is an urgency for institutional advancement offices and academic leadership to be actively engaged in promoting change and implementing fundraising strategies.

Breaking Down Barriers

Several research articles have discussed the negative faculty culture that creates a negative relationship between the academy and philanthropy. Academic structures and traditions have created tensions between academics and the development officers. Strickland (2007) stated, "Although higher education should owe a debt of gratitude towards donors, the academy tends to have a suspicious attitude towards philanthropy. The academic world can articulate needs but does not always take advantage of opportunities" (pp. 110-111). The academic dean could be the bridge between faculty and institutional advancement office. Weerts and Ronca (2007) asserted that faculty culture is a key barrier and new structures are needed to support faculty engagement. Additionally, while the position of director of development encompasses more than solely

raising money for an institution, not many outside the profession understand and value the important roles that development professionals play. According to Haggerty (2015):

> Many outside of the profession of fundraising may not fully appreciate the roles that fundraising professionals play within their organization. If these roles are not well understood within the walls of the fundraisers' own organizations, and fundraisers are isolated within the organization, then it is likely difficult for the fundraiser to be successful in their positions and within the field. (p. 144)

For higher education institutions to adapt to the constantly evolving funding environment, institutions will need to bring together the academy and institutional advancement offices, and they will need the assistance of academic deans. "In coping with increasing environmental demands, uncertainty and fierce levels of competition, greater organizational flexibility and therefore new forms of organization are deemed necessary, including a much stronger focus on middle management and their involvement in strategy development" (De Boer & Goedegeburre, 2009, p. 348).

Academic Deans

Many universities engage in fundraising as a revenue source to meet their challenges and funding shortfalls (Cheslock & Gianneschi, 2008; Merchant, 2014; Speck, 2010). Over the past twenty years, as public higher education institutions have grown, they look to more than just institutional advancement offices to fundraise. Presidents have begun shifting external duties, such as alumni relations and fundraising, in part to academic deans. According to Buller (2015) "It wasn't that long along that provosts and deans weren't expected to interact with donors very much. The situation has changed drastically" (p. 323). Kaufman (2004) identified fundraising as one of the most visible and demanding roles expected of university presidents and academic deans. This change has occurred as a result of how education is funded (Bornstein, 2011; Cheng,

2011; Clevenger, 2016; Hodson, 2010; Kaufman, 2004). Thus, fundraising is part of the dean's responsibilities as an academic leader.

As leaders in higher education institutions, academic deans have an important task in breaking down the barriers between faculty and development officers. Hall (1993) noted that in order for academic deans to benefit from the development officer's expertise, the development officer must be accepted, trusted and respected by faculty. No longer can fundraising be solely the role of institutional advancement offices, rather academic deans must take a hands-on approach. Universities need academic deans to both break down barriers between faculty and advancement officers, and to guide and lead fundraising efforts. The demand for deans' involvement with fundraising is growing, as Mercer (1997) stated

> Deans' involvement with fundraising has shaken one of the foundations in higher education. Nowhere has the shift been more apparent than at public universities in states where support for higher education has been flat and especially at public universities engaged in multiyear capital campaigns (para. 4).

Buller (2015) and Masterson (2010) highlighted that the partnership between deans and development offices can promote success. As higher education institutions rely more on philanthropy, academic deans should work alongside development officers to help shape potential gifts (Masterson, 2010).

Deans are viewed as the best people to articulate the mission and discuss the funding needed to ensure the vision for an academic program (Clevenger, 2014; Drezner, 2011; Hall, 1993; Krahenbuhl, 2004). They can develop bonds with donors, who are more inclined to give to programs that they feel will be in good hands. Krahenbuhl (2004) highlighted that the long-term fundraising success of a college will depend significantly on the succession of deans and the continuity of leadership.

Furthermore, having a dean involved in fundraising helps connect faculty members to create a sense of shared responsibility (Clevenger, 2014; Fitzpatrick & Deller, 2000; Masterson, 2010). Faculty are admired and respected for their work by alumni and friends, therefore, they can be helpful in the fundraising process, which could increase the likelihood for the financial request to be supported (Hodson, 2010). Since faculty are critical to the success of the college's academic programs, it is important for academic deans to engage faculty as partners in fundraising.

However, the majority of academic deans have built careers as scholars and are not adequately prepared to fundraise on behalf of the higher education institution (Kaufman, 2004). When academic deans are appointed, few have fundraising or development experience or adequate knowledge of the theory and practice of successful development operations (Buller, 2015; Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). Further, expectations for academic deans to fundraise and the time commitment necessary to successfully fundraise have changed significantly over the past twenty years (Krahenbuhl, 2004). However, with support from institutional advancement offices, academic deans can be set up for success in fundraising by recognizing professional fundraising staff as their allies (Buller, 2015; Olson, 2006; Hodson 2010). "The most successful, effective senior leaders as fundraisers are those who are committed in spirit and to the amount of time required for the process" (Clevenger, 2014, p.97).

Internal and external constituents expect academic deans to lead the fundraising enterprise capability, visibly and credibly (Hodson, 2010). A new set of expectations for academic deans has emerged; they must convey the value of philanthropic support to all stakeholders. As university leaders, academic deans must embrace and understand their central role in fundraising. However, the role of academic deans in higher education fundraising has been severely neglected as a topic of scholarly research. More research is needed to better understand what makes an academic dean a good fundraiser.

The Need for More Research

According to Keidan (2014) and Proper and Caboni (2014), philanthropy's role in higher education institutions is continuing to increase, so a more rigorous and robust scholarship about philanthropy's role in society is needed. More research is needed to expand our knowledge and understanding of philanthropy so that institutions can benefit. Drezner (2011) pointed out,

> Although a need exists for more scholarly research by graduate students, faculty, and scholar-practitioners on philanthropy and fundraising in higher education, members of the larger higher education scholar community must acknowledge this line of inquiry… For too long many claimed that the study of philanthropy and fundraising is not central to the understanding of postsecondary education. (p. 88)

Academic deans must understand the complex dynamics of development and their impact on approaches to philanthropy and fundraising (Clevenger, 2016; Huehls & Drezner, 2014). Consequently, there is a need for additional academic research on how academic deans and institutional advancement offices can collaboratively increase philanthropic support for higher education institutions. Keidan (2014) stated, "Philanthropy's imprint on the fabric of the university is just emerging. As its profile rises, we should expect some celebration of its contribution to higher education, but we are also entitled to demand a more rigorous and robust scholarship about its role in society" (as cited in Alphin et al., 2015, p. 19).

Chapter Summary

The purpose of this research is to understand academic deans' role in fundraising from the perspective of the dean, and to gather insights on how to better prepare academic deans for fundraising. Philanthropy is a major concern of today's higher education institutions and academic deans are expected to play a lead role in fundraising. Fundraising is central to deans' role as institutional leader (Hodson, 2010), and fundraising will be successful only if academic deans and faculty recognize development professionals as their allies and not as irrelevant

interlopers (Olson, 2006). Since research on philanthropy in higher education and on the role academic deans play in fundraising are both limited, this research will start to fill the gap in literature and contribute to the larger body of knowledge that informs fundraising for public higher education institutions. Moreover, this research will serve as a guide for higher education institutions to recruit and develop academic deans' philanthropic efforts.

CHAPTER 3: METHODOLOGY

The purpose of this research is to understand academic deans' role in fundraising from the perspective of the dean, and to gather insights on how to better prepare academic deans for fundraising. Most academic deans have built careers as scholars and are not adequately prepared to fundraise on behalf of higher education institutions. When academic deans are appointed, few have development experience or adequate knowledge of the theory and practice of successful development operations (Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). Therefore, this study investigates how academic deans can be prepared to fundraise effectively for public higher education institutions. The study utilizes a basic qualitative research approach and is guided by the following questions:

1. In the academic deans' current roles, what do they do related to fundraising?
2. How should academic deans be fundraising?
3. What are the barriers for academic deans who engage in fundraising?
4. How do academic deans learn to fundraise?
5. How should academic deans be prepared to fundraise?

Research Design

Since there is a lack of theory to adequately explain how participants make meaning of a situation, this research study uses a basic qualitative approach to understand and construct meaning (Merriam & Tisdale, 2015). According to Merriam and Tisdale, ‘‘basic research is motivated by an intellectual interest in a phenomenon and has as its goal the extension of knowledge. Although basic research may eventually inform practice, its primary purpose is to know more about a phenomenon’’ (p. 3). Basic qualitative studies are the most common form of qualitative research found in education (Merriam & Tisdale, 2015). According to Corbin and

Strauss (2014), “qualitative research allows researchers to get at the inner experience of participants to determine how meanings are formed through and in culture and discover rather than test variables” (p. 12). Marshall and Rossman (2006) proposed that a study that focuses on individual lived experiences primarily rely on in-depth interviews. “Interviewing is necessary when we cannot observe behavior, feelings, or how people interpret the world around them” (Merriam & Tisdale, 2015, p. 108).

Drawing from the current literature helped to frame the study and identify patterns or commons themes that cut across the data (Merriam, 2002). However, existing research on philanthropy in higher education is limited, as is research on academic deans’ fundraising. In order to address that gap in the literature, this research consisted of interviews of four academic deans from the SUS institutions. This basic qualitative research study allowed me as the researcher to explore how academic deans interpret their experiences, how they construct their worlds, and what meaning they attribute to their experiences (Merriam & Tisdale, 2015). The qualitative approach allows in-depth discovery of the topic.

Researcher as Key Instrument

Creswell and Poth (2016) defined qualitative research as interpretative research, in which the researcher collects data themselves through observing behaviors and interviewing participants, without relying on instruments developed by other researchers, and likewise interprets the data. As the researcher for this study, I recognize that my past experiences in higher education fundraising could shape my interpretations.

From November 2012 to November 2020, as a development officer at a public higher education institution within the SUS, I worked closely with eight academic deans over the course of eight years. These deans had varying perspectives on the role of fundraising in academic deanship and varying levels of success in fundraising. I believe the understanding of context and role that I gleaned from this experience enhances my knowledge of many of the challenges that

academic deans face as fundraisers. I also bring to this study knowledge of the structure of higher education and of the financial challenges faced by public higher education institutions.

Because of my previous experience in higher education fundraising, I was able to carefully select the participants and ask meaningful questions. “There often is, and should be, a relationship between the researcher and the researched” (Jones et al., 2006, p. 6). Although every effort was made to ensure objectivity, my recognition of my expertise in higher education fundraising as potential bias shapes the way I view and understand the data collected.

Participants

To identify potential participants, purposeful, purposive and snowball sampling were employed. Patton (2005) and Merriam and Tisdale (2015) argued that the logic and power of purposeful sampling is to create information-rich cases, from which the researcher can learn a great deal about the purpose of the inquiry. As the researcher, I sought to discover, understand, and gain insight and therefore determined the sample size of four academic deans would maximize information. Although the sample size was small, I was able to reach saturation and reach a point of redundancy (Lincoln & Guba, 1985).

Getting access to the appropriate academic deans was essential to the success of the research. Because I strived to make meaning from a specific set of academic deans, purposive sampling was employed. Schwandt (2001) defined purposive sampling as choosing individuals for their relevance to the research. Criteria for the selection of participants were that they be deans with reputations as successful fundraisers, represent a variety of academic disciplines, have a minimum of three years’ experience in the SUS, and represent diverse demographic backgrounds. I selected academic deans from the SUS in order to focus specifically on Florida, eliminating different state environment variables. Choosing participants with various experiences, backgrounds, and demographics increased the possibility of shedding light on the research questions from a variety of perspectives (Adler & Adler, 1988; Patton, 1987). As part of

anonymizing, the names of the institutions and academic deans were changed along with their genders, and pseudonyms were used throughout the study to ensure confidentiality. For this research study, I ended up interviewing one African American, one Asian, and two white academic deans, of which were two female and two male.

Snowball sampling was used to locate a selected number of four participants who met the established criteria. Both purposive and snowball sampling consisted of asking my connections in the SUS to refer me to potential information-rich participants (Merriam & Tisdale, 2015). I used my connections with a former academic dean and current dean as well as the provost from the University of North Florida (UNF) to identify prospective participants who fit the selection criteria. The participants chosen are summarized in Table 1.

Table 1

Characteristics of Participants from SUS Institutions

Participant (Pseudonym)	Race	University Size	Years as Academic Dean at SUS Institution
Anna Alpha	Asian	50,000 students	4 years
Bill Beta	White	12,000 students	6 years
Dennis Delta	White	30,000 students	3 years
Gary Gamma	African American	10,000 students	10 years

I received approval from the Human Subjects Institutional Review Board (IRB) at UNF before contacting potential participants and beginning data collection. Interviewees were initially contacted by email (Appendix A). In the email, I was authentic and open about the purpose of my research, in order to best follow Marshall and Rossman's (2006) recommendation that the success of a qualitative study depends on the researcher's ability to build relationships with the participants, including building trust, maintaining good relations, respecting norms of reciprocity, and sensitivity. Additionally, each academic dean was assured that their participation was voluntary and that their identity would be kept confidential.

This study focused on four selected academic deans from the SUS to reach saturation. Charmaz (2006) and Lincoln and Guba (1985) recommended collecting data until a point of saturation or redundancy is reached. Therefore, these four academic deans were identified to most efficiently accomplish the research objectives with the right amount of data collected through eight interviews.

Data Collection

Because I conducted interviews with selected academic deans, I was the main instrument of data collection. Data collection took place in two 30- to 60-minute semi-structured interviews with each of the four selected academic deans. Semi-structured interviews are less structured than standardized interviews, affording the researcher the ability to be flexible in approach (Creswell & Poth, 2016). The intended plan was to conduct the first set of interviews face to face and the second set of interviews either in-person or virtually through a telecommunication application like Skype or Zoom. However, the onset of the pandemic occurred and forced me to interview three of the academic deans virtually through Zoom. I was able to conduct one set of interviews in-person with the first academic dean interviewed, Dr. Bill Beta.

The first set of interviews followed a protocol of seven open-ended questions that were designed to elicit opinions from the participants (Appendix B). “The basic purpose of the standardized open-ended interview is to minimize interviewer effects by asking the same question of each responder” (Patton, 1987, p. 113). Prior to each initial interview, I offered the interviewee an advance electronic copy of the interview questions. Additionally, I provided each interviewee a copy of the consent form along with a copy of the IRB approval letter (Appendix C). After a participant had been interviewed once, an interview was scheduled via email.

The second set of interviews was guided by the initial data analysis of the first interview and focused on the academic deans’ fundraising preparation and understanding (Appendices D-G). The second set of questions were developed after each first interview and were specifically

tailored for each academic dean. Therefore, each set of interview questions were unique for the academic dean being interviewed. This follow-up interview allowed me to gain an in-depth understanding of each academic deans' attitudes, beliefs, experience, and understandings around higher education fundraising. Throughout the interview process, I was extremely careful to convey the attitude that the participants' views were valuable and useful (Marshall & Rossman, 2006; Mason, 2006).

In addition to audio-recording each interview, I took short field notes during each interview, and made entries in a reflective journal immediately afterward. Field notes included descriptions of the participant and my comments in the margins of the interview questions (Merriam & Tisdale, 2015). Reflective journal entries included initial interpretations, reactions, and/or working hypotheses (Merriam & Tisdale, 2015). Audio-recordings of the two sets of interviews were transcribed immediately after each interview. After transcribing and analyzing both interviews, I solicited feedback from the participants to rule out the possibility of misinterpreting the data.

Data Analysis

This research study was designed to co-construct meaning with university academic deans as the primary unit of analysis. Data analysis is the process of making sense out of the data by consolidating, reducing, and interpreting what the interviewees said (Merriam & Tisdale, 2015). It is important to note that data analysis is the most challenging part of the qualitative research process and can be made manageable if the researcher analyzes simultaneously with data collection (Creswell & Poth, 2016; Marshall & Rossman, 2006; Merriam, 1988).

Analysis of the data in this study employed the constant comparative method to identify themes and make meaning from the academic deans' lived experience (Charmaz, 2014; Glaser & Strauss, 1967). The constant comparative process consists of a three-step process: open coding, axial coding, and selective coding (Corbin & Strauss, 2014). The constant comparative method is

used by the researcher to develop concepts by coding and analyzing the data (Taylor & Bogdan, 1998). “Coding is the formal representation of analytical thinking. The tough intellectual work of analysis is generating categories and themes” (Marshall & Rossman, 2006, p. 160).

During the first phase of the coding process, open coding, I was expansive in identifying, line by line, data that might be useful. Boeije (2002) stated,

> The aim of this internal comparison in the context of the open coding process is to develop categories and to label them with the most appropriate codes. In this way, it is possible to formulate the core message of the interview with the codes that are attached to it and to understand the interview including any difficulties, highlights, and inconsistencies. It represents an attempt to interpret the parts of the interview in the context of the entire story as it has been told to us by the interviewee. (p. 395)

The process of open coding consisted of jotting initial thoughts that I found interesting or relevant in the margins of the transcripts and comments. I read each interview transcript from beginning to end twice and applied open codes, while looking for elements of the data that held meaning to the research questions. I did not use computer-assisted qualitative data analysis software. I kept a list of codes in a journal.

The second stage, axial coding, is the process of grouping related or similar codes into categories and themes. Corbin and Strauss (2014) referred to the continuation of asking questions and making comparisons, the inductive and deductive thinking process of relating subcategories to a category, as the main emphasis of axial coding. “This means searching for indicators and characteristics for each concept in order to define that concept. A second aim is to discover what combination of codes will exist” (Boeije, 2002, p. 398). Instead of using computer-assisted qualitative data analysis software to organize the codes, I color coded the related codes with 3x3 Post-It™ sticky notes. This allowed me to physically group and regroup codes to determine

emerging themes. Saturation of data, where there is no new data to build or refute a particular theory, occurred during the axial coding phase (Corbin & Strauss, 2014; Hays & Singh, 2011).

In the third stage, selective coding, core patterns and emerging themes are created to capture patterns and sequences among the axial codes. Corbin and Strauss (2014) defined selective coding as the process of identifying and choosing the core category, systematically connecting it to other categories, validating those similarities and relationships, and then completing categories that need further refinement and development. Therefore, in this research, after completion of axial coding, selective coding was utilized to develop code themes that emerged during research. I was careful to provide thick, rich descriptions of each academic dean's role in fundraising and their preparation to fundraise.

During the constant comparative process, I employed a two-stage analysis, within-case analysis and the cross-case analysis. Merriam and Tisdale (2015) stated that the within-case analysis is treated as a comprehensive case. To make sense out of all of the data, I analyzed the participant's interviews, assigned codes and identified themes for each academic dean. By providing rich descriptions for each academic dean, I employed the cross-case analysis to compare and contrast the four academic deans' lived experiences and to draw conclusions on academic deans' role in fundraising and their preparation to fundraise. After capturing the patterns, interpretation of the qualitative research includes summarizing the overall findings, comparing the findings to the current literature, discussing the researcher's personal view of the findings and stating the limitations and future research (Marshall & Rossman, 2006).

Researcher Reflexivity

Fundamentally, qualitative research is about examining how people make meaning (Merriam & Tisdale, 2016). Probst (2015) stated, "Reflexivity is generally understood as an awareness of the influence the researcher has on what is being studied and simultaneously, of how the research process affects the researcher" (as cited in Merriam & Tisdale, 2015, p. 64).

A reflective journal is one means of collecting data in qualitative research (Janesick, 1999). “The clarity of writing down one’s thoughts will allow for stepping into one’s inner mind and reaching further into interpretations of the behaviors, beliefs, and words we write” (p.11). Therefore, I made entries in a researcher reflective journal after each interview and data analysis session to capture my feelings, reactions and initial interpretations during the interview process that could influence my focus in selecting the data for analysis and interpretation. Because Seale (1999) recommended to show the participants procedures taken to arrive at a set of conclusions, I was transparent with the participants by providing each academic dean the case analysis.

Trustworthiness and Credibility

In qualitative research, the concepts of credibility, dependability, and transferability have been used to describe various aspects of trustworthiness (Guba, 1981; Lincoln & Guba, 1985; Patton, 1987). The level of methodological rigor and the researcher’s familiarity and understanding of the research topic enhance the trustworthiness and credibility of the study. Credibility deals with the focus of the research and refers to confidence in how well processes of data analysis address the intended focus (Lincoln & Guba, 1985).

Four techniques to ensure trustworthiness were employed for this research study: member checking, rich description, transferability, and peer examination. I conducted member checking by soliciting feedback from the participants on the preliminary findings to rule out the possibility of misinterpreting the data from the participants’ perspectives. Merriam and Tisdale (2015) referenced that member checking allows the researcher to ensure internal validity and credibility and is the single most important way to rule out the possibility of misinterpreting participants’ meaning.

Additionally, I focused on producing rich description of the academic deans’ experiences in easily understood language (Sullivan-Bolyai et al., 2005). This was possible because as the researcher, I spent sufficient time analyzing data to ensure the emerging findings felt saturated

(Merriam & Tisdale, 2015). Creswell & Poth (2016) shared that the more time and experience a researcher has with the participants in their setting, the more accurate and valid the findings will be.

When rich description is used as a strategy, transferability can be enabled (Merriam & Tisdale, 2015). Lincoln and Guba (1985) referenced that thick and rich description provides context for future studies. The research study was bounded and situated in the context of fundraising in higher education. Its findings can be transferable to Florida public universities. Although the sample size is small, I enhanced transferability by giving careful attention to selecting the study sample, as well as doing a thorough job of describing the research context and the assumptions that were central to the research.

I conducted multiple sessions of peer debriefing at various stages during the research study. According to Lincoln and Guba (1985) a peer reviewer provides support by challenging the researcher's assumptions and pushing the researcher to think about methods and interpretations. To enhance the accuracy of my first set of interview questions, I used peer debriefing with one of my dissertation committee members, a former academic dean. Next, I used peer debriefing with my dissertation chair to construct the second set of interview questions for each academic dean. Further, I used peer debriefing with a former colleague who has a past experience in higher education fundraising. "This strategy – involving an interpretation beyond the researcher and invested in another person—adds validity to an account" (Creswell & Poth, 2016, p. 201). Lastly, I met regularly with my dissertation chair to debrief and discuss my ideas and thoughts throughout the research process.

Limitations

Although a variety of techniques were employed to ensure trustworthiness and credibility, this study has limitations. Patton (2002) shared that there are no perfect research designs and that there are always trade-offs. This research study has the following limitations—

biases, the willingness of deans to participate, and the lack of generalizability. First, by employing a reflective journal throughout the study and engaging in peer debriefing, I aimed to keep my biases and assumptions from surfacing. Second, the willingness of academic deans with credible fundraising experience to participate in this research study could have limited my ability to conduct meaningful research. However, by employing snowball sampling, I was able to overcome this potential limitation. Third, since the research study was bounded and situated in the context of fundraising in higher education, the findings can be transferable to Florida public universities but the small sample size limits their generalizability. The results of the study cannot be generalized to public or private universities in other states but may be useful for academic administrators in understanding the role academic deans play in higher education fundraising and their preparedness for their roles.

Chapter Summary

The purpose of this research study was to understand academic deans' role in fundraising from the perspective of the deans, and to gather insights on how to better prepare academic deans for fundraising. The study utilized a basic qualitative research approach and consisted of interviews of four academic deans from SUS institutions. Two interviews were conducted with each academic dean. Because of my professional experience, I recognize that I bring personal perspectives about and knowledge of higher education fundraising to the research.

The data collected was organized, coded and categorized in a three-step process of open coding, axial coding, and selective coding. Patterns and emerging themes were captured. I then analyzed the data patterns and made connections with current literature. Chapters 4 and 5 consist of detailed findings and interpretation of this basic qualitative study.

CHAPTER 4: FINDINGS

Introduction

The purpose of this research is to understand academic deans' role in fundraising from the perspective of the deans, and to gather insights on how to better prepare academic deans for fundraising. Therefore, this study investigated how academic deans can impact fundraising for public higher education institutions. The study used a basic qualitative research approach, and was guided by the following questions:

1. In the academic deans' current roles, what do they do related to fundraising?
2. How should academic deans be fundraising?
3. What are the barriers for academic deans who engage in fundraising?
4. How do academic deans learn to fundraise?
5. How should academic deans be prepared to fundraise?

As such four academic deans from the SUS were selected to participate based on their reputation as successful fundraisers, academic disciplines, minimum of three years' experience in the SUS, and diverse backgrounds. I conducted two-semi structured interviews with each dean to investigate how academic deans can impact fundraising for public higher education institutions. Analysis of the data in this study employed constant comparative method to identify themes and make meaning from the academic deans' lived experiences (Charmaz, 2014; Glaser & Strauss, 1967).

In this chapter, the findings are first reported in the form of an in-depth case analysis of each of the four academic deans. Each in-depth case analysis reviews the participant's prior fundraising experience, expectations for deans to fundraise at their current institution, qualities needed for deans to be effective fundraisers, the dean's fundraising roles and responsibilities,

barriers to higher education fundraising, and the dean's preparation for fundraising. Second, a cross-case analysis highlights emerging themes, including university support to set academic deans up for success, and the importance of collaborative fundraising and academic deans' job longevity. Third, the research questions that guided the basic qualitative study are reviewed in light of the collected data.

Before going into detail on the interviews themselves, Table 2 contains s summary of the key ideas gleaned from each dean.

Table 2

Traits and Qualities Identified in Each Dean Interview

Dean	Traits and Qualities
Dr. Anna Alpha	• Visionary leader • Power of pause and being reflective • Acknowledging fundraising successes and failures • Building a shared responsibility to fundraise • Continuously improving and sharpening • Fundraising Skill Set
Dr. Bill Beta	• Prior hands-on fundraising experience • Command of the disciplinary language • Actively listen • Align donor's passion and make connections • Systems thinker • Create fundraising allies
Dr. Dennis Delta	• Fundraising is a team effort • Know the donor • Be a creative listener • Exude openness • Understand the practice of patience • Create informed fundraising partners
Dr. Gary Gamma	• Navigate the institutional landscape • Be patient and strategic • Create a culture of philanthropy • Look ahead at the bigger vision • Continuously improve fundraising practice

Dr. Anna Alpha

Dr. Anna Alpha is entering her fourth year as dean of the College of Business at Apple University. Founded in the 1960's, Apple University serves more than 50,000 undergraduate and graduate students and is currently one of the ten largest universities in the United States. U.S. News & World Report ranks Apple University as having one of the best undergraduate International Business programs and one of the best International Master of Business Administration programs.

In 2019 Apple University entered the public stage of its $750 million comprehensive capital campaign focused on building cutting-edge research and world-class programs. As of June 2020, the university has raised over $500 million. During FY 2018-2019, Apple University raised $67.4 million.

Within the College of Business, Dr. Alpha oversees 11,000 undergraduate and graduate students and 150 faculty. Before being appointed dean at Apple University, she served as dean at a public research institution in the Midwest. Dr. Alpha received her Ph.D. in Business Administration with a finance concentration and never aspired to become an academic dean. She advanced her career by doing things that she believed in doing. She noted, "We do our research, we teach well, and we serve the community." Dr. Alpha shared that her favorite part of being an academic dean is creating opportunities to execute a strategy that has direct and indirect impact on students and faculty, which will, in turn, influence the community.

Prior Fundraising Experience

As chair of the Department of Finance at her former institution, Dr. Alpha was exposed to fundraising by attending donor meetings with the university development team. She mentioned that her involvement with fundraising at that time was by default. She stated, "Usually, it should be the task of the dean." However, the university development team needed a finance expert. Dr. Alpha noted that she would typically have a brief conversation with

development staff to prepare for meetings. However, she was never formally trained to fundraise. As department chair, Dr. Alpha viewed fundraising as a project, because fundraising was not directly tied to the job responsibilities of a department chair. It was not until becoming dean that she became more deliberate and intentional about fundraising.

When Dr. Alpha was promoted to dean at her former institution, she received fundraising training and professional development. Dr. Alpha and her development officer attended the Council for Advancement and Support of Education (CASE) Conference, her first fundraising professional development experience. CASE is a world-wide organization dedicated to advancing higher education development through alumni relations, development, advancement services, and marketing. At this conference, it didn't take Dr. Alpha long to realize that fundraising was not a one-person job. She stated,

> When I first started as a dean, I had very little understanding of fundraising, and I did not really think of fundraising as a science. I only thought of fundraising as you have a development officer who will go do it. I didn't understand the complexity of the job. I think most faculty think we just talk about our research, and people will give us money in the next meeting, write me a check, and move on.

Dr. Alpha further explained that as she has become a more seasoned dean, she has come to comprehend fundraising complexity and understand the various components of fundraising—discovering a donor, making a solicitation, record-keeping, and being good stewards of a gift. She credited her development officer at her former institution as her first trainer to become a good fundraiser. She stated, "I was very lucky; I had a good development officer. She was very strategic and an economist by training," two qualities that are essential for fundraising. Being strategic is a critical component of building donor relationships and mapping out solicitation processes. Training in economics is helpful in understanding and applying the financial aspects of major gifts. Dr. Alpha built a strong rapport with her development officer and found that when

on donor visits, they could communicate simply by looking at each other's eyes and could complete each other's thoughts.

Dr. Alpha stated that she has attended other conferences, the Association to Advance Collegiate Schools of Business (AACSB) and the Association of Deans and Directors of University Colleges and Undergraduate Studies (AD&D), at which she built her knowledge of fundraising. More recently, Apple University's advancement team hired a consultant organization to lead a workshop for deans and development officers to discuss roles and strategies for making solicitations. She stated, "I believe those trainings are good. They defined the role, but I always argue it's really not a one size fits all." Further explanation revealed her view that defining who will make the solicitation, whether it be the dean or the development officer, really depends on the donor and the context of the conversation.

Additionally, Apple University hired a consultant to work individually with academic deans to learn more about the deans' roles and personalities and help them grow. The consultant suggested that Dr. Alpha employ a strategy of having a more prominent presence in the community by using herself as the brand. The consultant recommended that Dr. Alpha provide services to the community by serving on boards or presenting keynotes. Dr. Alpha stated, "That is ingenious. We have started to do that more deliberately and intentionally. It has been a very successful adventure for us." Dr. Alpha later shared that she cannot decipher whether the civic presence directly affected the college's fundraising numbers; however, community support and community dollars to support the college have increased.

Dr. Alpha believes her training in finance helped her succeed in fundraising. She can convey credibility and can intelligently articulate funding options for donors. Dr. Alpha explained,

> You have to understand the aspect of finance. When asking for $5 million, donors are not just going to hand over $5 million in cash. If you understand finance, there are so many

instruments that you can run methods quickly. What are my annuities? We are talking five years down the road. Are we talking about a gift plan? Are we talking about a chunk of life insurance? So that's important to understand the finance aspect.

Additionally, Dr. Alpha shared that she asks many questions when working with donors to be mindful of their circumstances. She explained, "I try to kind of manage the risk before presenting the kind of instrument to the potential donors, and I step back to think about all circumstances." Just like a chartered financial analyst (CFA) who advises clients, Dr. Alpha intentionally considers the donor and the impact of making a gift not only for the university but also for the individual making the gift. She clarified, "When asking for money, I am your partner. I am not coming to clean your wallet." As fundraising continues to become more sophisticated, Dr. Alpha has voluntarily become more involved with the Apple University Foundation Board Drive to become better educated on foundation investments and the risks associated with these investments.

Because they have a business background and are systems thinkers, Dr. Alpha believes that business deans are better prepared to fundraise than their counterpart academic deans. She stated, "So in that regard, business deans are well-trained to understand the operation of the business and can speak a lot more fluently to people about the vision." For example, a dean of arts and sciences has several diverse disciplines in a college, whereas the disciplines in the college of business are all integrated.

Expectations for Academic Deans to Fundraise

Currently, Dr. Alpha is expected to raise $5 million to $10 million per year. The university is halfway through the capital campaign, as part of which the College of Business has an overall goal of $50 million. The vice president of advancement in conjunction with the university provost sets her annual goal.

Dr. Alpha shares responsibility to fundraise with her dedicated college development team. She considers herself the commander in chief and her executive director of development the first mate, always working in tandem to accomplish their goals. Dr. Alpha elaborated that her week is filled with different fundraising aspects occurring simultaneously, which could include going on donor visits, supervising the fundraising team, setting the vision and strategy for making a solicitation, sending birthday cards or writing thank-you notes, and providing feedback on proposals written by the development team. Dr. Alpha believes that it is essential to build a robust rapport with her six-person fundraising team. She explained,

> So I have a close relationship with my team. You have to because advancement is very trusting work. You have to build a lot of credibility and trust. You have got to know each other's personalities. You have got to know each other. You have to have that kind of wavelength.

Although she sets the vision and strategy for how to move a particular project, Dr. Alpha shared that she has overlapping roles with her fundraising team as pertains to donors. For example, when going on donor visits, a strategy is devised for who will discuss the vision, the solicitation, and the impact the gift will have on students or faculty, depending on the donor and their relationship with the college. Because Dr. Alpha has developed a close relationship with her executive director of development, they complement one another when speaking and pick up one another's cues to complete a statement. They are in sync with one another, which conveys to the donor a level of trust between the dean and her development officer.

Qualities Needed for Academic Deans to be Effective Fundraisers

Dr. Alpha identified several characteristics and traits an academic dean should possess in order to be an effective fundraiser. An academic dean must be a visionary leader who is patient and reflective while having the ability to recognize fundraising successes and failures. She summed up,

> An academic dean must understand the college, the student body, and the faculty research agenda and be able to articulate all of these things. And then also be an outstanding listener that has the ability to comprehend the donors' wishes. Additionally, have the agility to work with the central fundraising team to understand the finance side, legal side, and innovative side to make sure that this fundraising effort will fit into all of these pieces.

Visionary Leader. Explaining in greater detail, she emphasized the need for an academic dean to be a visionary leader, thinking beyond his or her deanship. Since many academic deans serve only five years in their roles, they need to consider the long term impacts on the institution, both positive and negative, of fundraising projects or programs. Significant attention needs to be given to planning these projects or programs, especially those that require more than five years to implement. Dr. Alpha explained,

> I do not want to undersell the key idea of being a visionary leader. An academic dean must have the vision to say, even though it's not here yet, I know somewhere down the road, five to ten years, it will happen. So guiding the donor's aspiration into that channel will help the college to invest in the future.

Patience and Reflective Practice. Furthermore, Dr. Alpha believes an academic dean must be patient and take the time to reflect. She noted one of the biggest lessons learned early in her deanship was the "power of pause." "It's the power of reflection, the power of stopping the track of thought and gaining insight," she shared, not only slowing down to listen but taking the time to reflect and to be truly present. Dr. Alpha learned the power of pause when working with a family-owned company that was interested in making a major gift to Apple University. The family-owned company did not know what the gift would support. Over fourteen months, Dr. Alpha met with multiple people within the company to understand their business model and discuss how a gift could impact the most students while being a good return on investment for the company. Through the power of pause and reflecting, Dr. Alpha better understood the donor's aspirations. Therefore, she was able to present a meaningful proposal that identified three goals to support undergraduate students through scholarship support, travel abroad

opportunities, and paid international internships. This proposal aligned with the passions of the family-owned company while positively impacting students at Apple University.

Recognizing Successes and Failures. One aspect of becoming reflective noted by Dr. Alpha noted is that academic deans need to have the ability to acknowledge fundraising successes and failures and learn from their mistakes. Dr. Alpha explained,

> There will be dead ends, and you should, like a good finance manager, assign a two percent bad debt. Emotionally, not only financially, assign the two percent bad debt and put it away. Lock it up, and do not take it personally. Do not believe that you have not spoken passionately. Do not believe you have failed in any way. I mean, try not to be a perfectionist.

Dr. Alpha compared fundraising failures to riding a bicycle—pick it up, and ride again. However, she further clarified, "take the opportunity to reflect and ask yourself did I do the ten things I am supposed to do." By working systematically with faculty and administration, donors, and university central advancement, Dr. Alpha learned the power of being an innovative, visionary leader who understands fundraising complexity while being patient, honest, and a good listener.

Deans' Fundraising Roles and Responsibilities

Academic deans must always be fundraising to further the institution's mission without compromising the donors' intent. Dr. Alpha shared, "a dean must have the ability to understand your student body, have the ability to understand the aspiration of your donor, and have the opportunity to tie these two together." However, she explained that "I am not going to twist my vision and do whatever. Successful fundraising also represents an honest dialogue. Somehow these two visions should be connected and tied. Then we make something beautiful out of it." Dr. Alpha recommended that deans meet to discuss fundraising failures to learn best practices. She stated, "As we want to create academic deans and prepare them to be successful fundraisers,

they will need to understand all of the mistakes that we have made in the past and how we owned up to them."

Additionally, Dr. Alpha discussed the importance of working with her faculty and leadership team to build a shared responsibility of understanding higher education fundraising and the expectation for fundraising to be a "team sport." She noted, "Bringing the senior leadership team in to build the empathy of understanding fundraising is a difficult task. You cannot sit on the bench and criticize. You should be on the field and be my partner." Dr. Alpha added that most academics do not understand fundraising complexity and how hard it is to fundraise and have a very naïve understanding of the process. Therefore, Dr. Alpha shared that understanding the importance of fundraising must extend to every single member of the institution. She articulated,

> I totally believe that every single member of the organization should believe that there is a big vision behind fundraising, and it's not just about the money. It's about sustaining the quality of education for many students that will come to this university. Sustaining a very strong academic research agenda that will not only benefit this regional community but society or internationally. If we are able to tell the story, we will be very successful. If every one of us is telling the story, we will be explosively successful.

For a total of eight years from two institutions, Dr. Alpha has been fundraising as an academic dean. However, she feels that she is still continuously improving and sharpening her fundraising skill set.

Barriers to Higher Education Fundraising

In addition to educating faculty and administration on why fundraising should become part of an organization's fabric, Dr. Alpha captured some of the challenges for academic deans in terms of fundraising. "The number one barrier, the number one challenge is the lack of time. The

larger the college, the less time you will have." With the complexity of the deanship, Dr. Alpha often wishes there was one more day in the week to accomplish fundraising tasks.

A second barrier Dr. Alpha identified is that Apple University is a relatively young institution, and they do not have useful data on their 235,000 alumni. She stressed that Apple University implements alumni management software to track alumni. However, the institutional knowledge needed to connect generations of alumni back to the institution is lacking. With the lack of time Dr. Alpha has to fundraise, if alumni data is not current, this hampers her expanding her donor reach in the community and beyond. In higher education fundraising, the goal is to increase the financial resources to support the institution and increase the number of donors, primarily alumni, who support the institution. With stale or old data, it is difficult to increase the number of alumni supporters.

Academic Deans' Preparation for Fundraising

When asked how higher education institutions can help academic deans learn the science of fundraising and be effective fundraisers, Dr. Alpha shared that they need to begin involving chairs and associate deans with fundraising earlier in their careers. Understanding that the process of fundraising takes time, she referred to the process of teaching fundraising as planting seeds. Not every seed will grow, and not everyone will be good at fundraising. She encourages her colleagues who are interested in becoming academic deans to attend the CASE conference. With the need for resources continually increasing in higher education institutions and more fundraising responsibilities being given to academic deans, working with associate deans and chairs prior to their applying for a deanship will give them a realistic purview of expectations of academic deans in today's world.

Furthermore, higher education leaders, either the president or provost, need to set fundraising expectations on day one for a new dean. A new academic dean needs to receive fundraising training and be immediately connected with the university foundation. Dr. Alpha

suggested that higher education leaders create synergies among academic deans to discuss fundraising strategies and failures. She noted that presidents and provosts need to be taking an "active driver role" in expecting deans to take time to fundraise and attend fundraising professional development. More importantly, academic deans need to understand the complexities and challenges associated with fundraising. By providing training on the science of fundraising, academic deans will better understand the processes and strategies behind making a solicitation.

Dr. Alpha attributes her ability to raise major gifts to her continuing to grow and learn more about the field of fundraising. Being a finance person, she has been able to leverage her constant curiosity about the financial and legal aspects and business operations of fundraising that have become more sophisticated.

Dr. Bill Beta

Since 2014, Dr. Bill Beta has overseen the College of Education at Banana University. Founded in the 1960s, Banana University serves more than 12,000 undergraduate and graduate students with five academic colleges. According to U.S. News & World Report, Banana University is among the top 50 best institutions for veterans and is ranked in the top 40 best regional universities. As of June 2019, Banana University had an endowment of over $76 million.

Within the college, Dr. Beta oversees eight academic departments with over 200 faculty and approximately 3,000 students. He earned his Ph.D. in Criminology and Criminal Justice at a public research institute in the Midwest. Early in his career, Dr. Beta did not aspire to become an academic dean. He noted that "I wouldn't say I was against the administration. I just didn't know what it was." Dr. Beta further explained that most of his higher education administrative advancements have resulted from someone else seeking him out for a particular position. By accepting several such opportunities, Dr. Beta was able to advance his higher education career.

Dr. Beta referred to his career "as coming up through the ranks." His extensive experience at multiple institutions included working at a state university in Japan, serving as an American Council on Education (ACE) Fellow, and overseeing a center for philanthropy. (The ACE Fellow Program is a one-year immersive experience for vice presidents, deans, department chairs, faculty, and other emerging leaders to study and practice leadership at a selected institution.) Now six years into his deanship, what Dr. Beta enjoys most about his job is seeing the expertise of the faculty from the eight academic departments. Dr. Beta loves continuously learning from the college's faculty. He finds it rewarding to see that he has had a hand in bringing talent together to benefit the students and the community.

Prior Fundraising Experience

Dr. Beta was able to bring to his current position first-hand fundraising experiences from his previous institutions. During his ACE fellowship at a renowned Catholic institution, Dr. Beta worked with university advancement and attended presidential meetings when solicitations under $1 million were made. He recalled, "I got to watch the management of fundraising and watch how solid metrics drive their performance." This eye-opening experience was the opposite of his fundraising experience as a department chair at a Midwest university. While a department chair, the institution solicited the same sixteen families year after year. The institution did not have a systematic approach for managing donor relationships and developing a pipeline for new donors.

After completing the ACE fellowship, Dr. Beta served as the executive director of a center for philanthropy, where he stepped into the fundraising foundation world. The center for philanthropy provides research and expertise to help advance philanthropy through professional development, courses, and training. Dr. Beta worked primarily with foundations and some individual philanthropists who were interested in advancing their grant work capacity. In the executive director role, he fundraised to create two new chairs for the center, family philanthropy and community research.

Besides his prior hands-on experience with fundraising, during his deanship at Banana University Dr. Beta attended some CASE conferences and a two-week management development program at Harvard University pertaining to fundraising and management development for academic deans. During the Harvard program, Dr. Beta was able to reframe higher education fundraising from an initial view that the process consisted of asking someone for money to a more nuanced view of connecting a donor with his or her passion. He referenced, "Some of the early trainings at Harvard helped me understand that I was really a broker. I am marrying passion with capacity, and that was a turning point for me." Dr. Beta expressed that his collective experiences before becoming an academic dean allowed him to be comfortable being uncomfortable. He stated,

> Those positions all brought me to a new way of thinking. And so, in fundraising, the most challenging part is making the initial connection. What is the shared affinity point? And usually, it should be something beyond an ask itself, beyond a particular topic. I love people's stories and sitting down with somebody, and they are just so surprisingly interesting. And you give them a chance, and they give you a chance. Those are great relationships, and all those helped me in that way.

Since Dr. Beta had previous fundraising experience elsewhere, he expressed that his fundraising role at Banana University is a "kind of maintenance" role. Dr. Beta shared that he devoted 80 to 90 percent of his time to fundraising efforts in his prior position at the center for philanthropy. Now, as dean at Banana University, he has taken a step back, and fundraising makes up 10 to 15 percent of his portfolio.

Expectations for Academic Deans to Fundraise

At Banana University, Dr. Beta does not have an annual fundraising goal. From 2014 to 2020, the College of Education has raised between $150,000 and $300,000 per year. Dr. Beta revealed that his involvement in fundraising as an academic dean has not been articulated as a

primary job responsibility and shared that he was not aware of expectations for other deans. Dr. Beta believed that his institution's fundraising efforts are not sophisticated because the institution is a regional university.

The development office at Dr. Beta's institution has a vice president of development and three development officers who work across campus with the five academic colleges. Not having dedicated fundraisers for the college, Dr. Beta works with the vice president of development and two of the university's development officers. He reviews his portfolio of 50 donors every couple of weeks and typically meets with donors when they visit campus. Unlike in his former positions, Dr. Beta shared, "I do a lot of maintenance. I try to be proactive in running into people in their natural spaces. I don't typically go to their houses in this job; I did in my last one." Dr. Beta expressed that the development officers typically help organize meetings. They are brought into conversations with donors to speak to the high-level mechanics of making a gift.

Dr. Beta described a recent donor meeting at which he invited a donor to meet with her scholarship recipient. The donor expressed that she wished to help more students. Dr. Beta stated,

> It is then an in for me to talk about how she helped the student and how would you feel about having ten scholarship recipients next year? I then invite the development officer to discuss high-level mechanics – how it is $25,000 to start an endowment and discuss what an endowment is.

Dr. Beta noted that the development officers sometimes bring opportunities to him. However, they are not always a good fit. He shared, "They (development officers) are not from the academic side of the house, and they do not have the same perspective." Therefore, Dr. Beta explained, he often takes the initiative to align the college with the donor's passions.

Dr. Beta believes academic deans are in the best position to fundraise for their colleges because they are in the best position to be aware of college initiatives and program data while

also having a command of the disciplinary language to work with donors. He further explained, "We know what our enrollment is. We should know what the market is. We know what the different generations of students are and their profiles." He shared that a dean needs to identify his or her fundraising allies within the college. Dr. Beta noted, "It is probably your business manager. It might be an associate dean. It might be a couple of senior chairs, and those are your allies, and you want to build more allies." Because academic deans are juggling a variety of priorities and responsibilities, they need to have allies and partners to help fundraise and manage the fundraising process.

Deans' Fundraising Roles and Responsibilities

Academic deans must always be fundraising to further the institution's mission, regardless of whether a gift is secured. Dr. Beta explained,

> We have the talent, connections, and knowledge, but not the resources. Donors have a really deep desire to see something happen, and of course, they have the money. Success is being able to bring those things together, or to make an effort, even if it's unsuccessful. That is positive fundraising.

Not only does an academic dean need to be a systems thinker, examining all of the potential outcomes of a gift, but he or she also needs to view the scenario through multiple lenses. Dr. Beta believes that if academic deans take the time to examine opportunities through various lenses and take the time to retreat and reflect on possible opportunities, they will make the best decision for their institution. For example, Dr. Beta shared an experience after he became dean at Banana University, when the provost tasked him to finish a fundraising project. The project involved rebuilding an old print shop. All of the donor funds to support the project had been expended, and the project had been dormant for several years. He explained,

> The faculty didn't seem to have developed a concise vision for the project. How the building would be used to both serve the college and meet the donor's intent. And so that

was an opportunity for me to say, we need to stop and figure this out. It is an opportunity to work with faculty and re-engage the initiative. Through various conversations with colleagues, we came up with a plan for how to broaden the capacity and use of the building, such (that) I could draw on other donors' interest… It allows us to tell the original story, maintaining the original donor intent, which was significant, and also allowed us to grow capacity and open it up for other donors. Here, the donor agreed, so we were able to continue to fundraise.

Academic deans must be forward thinkers while taking the time to pause and reflect on different outcomes when working with donors to align their passion with the university. Dr. Beta stated, "The best of all worlds is if you think systemically, you are trying to see everybody in a scenario win."

Qualities Needed for Academic Deans to be Effective Fundraisers

Dr. Beta identified two qualities an academic dean should possess in order to be an effective fundraiser: ability to actively listen, and ability to direct the donor's passion to align with the institution.

Active Listening. An academic dean must be able to listen and identify the donor's passion. Dr. Beta stated, "It is really too easy to walk into a meeting with a set goal, what we want to achieve." An academic dean should be attuned and use active listening to understand the donor's life experiences better and determine what they are truly passionate about and how it might best connect to the university. For instance, Dr. Beta referred to a donor visit at a previous institution with the vice president (VP) of development and a representative from the McDonald's Foundation. After engaging the foundation representative, they discovered that the proposal they presented was not a good fit for the foundation. However, further dialogue and active listening led the VP to understand that the foundation representative was passionate about jazz. Dr. Beta explained,

> That was the first conversation they had about jazz. Now there is a wing at the university (that) the foundation sponsors that supports jazz. That support came out of the VP being smart enough to work through his agenda but then (he) kept going back to search for and align common interests.

Align the Donor's Passion. Dr. Beta believes that successful fundraising requires aligning the passion of the donor with the talent and knowledge of the university to try to make something happen. To align the donor with the university, an academic dean must be able to listen to the donor's passion and make the connections to university resources. Dr. Beta stated, "The number one successful attribute of a fundraising dean is listening and identifying passions and figuring out how you can align to serve those interests. And sometimes you can't in that moment, or for a particular initiative." He later shared that a dean must continue to engage prospective donors, working to always find and align donors' passions with institutional talents and capacity. He shared one such example,

> I recall soliciting a retired medical doctor, a heart surgeon, regarding a potential gift in support of a public health-related initiative. Throughout our conversations, it became apparent that while he valued the initiative, he did not see himself as a champion for the cause. Yet, we agreed to continue our discussions. As we learned more about one another through subsequent meetings, I learned that his mother, whom he cherished, had been a teacher and that he felt her vocation had most influenced his life course. This evolved into an opportunity to advance his interest in supporting the university's teacher education program and resulted in multiple significant gifts and an ongoing relationship.

Dr. Beta attributed his ability to successfully align college initiatives with prospective donors' passions to being a systems thinker. He noted, "I think about future potential outcomes. And I honestly think about the worst-case scenario, the best-case scenario, and how those are related to one another, which prepares me to come up with a strategy." Dr. Beta shared that if you think of the bigger picture, the work you do will likely outlive your deanship.

Barriers to Higher Education Fundraising

Dr. Beta described some of the challenges that lie ahead for academic deans in terms of fundraising. These include overcoming personal insecurities, mastering software and techniques for using donor data and metrics, and creating fundraising allies within the college. Dr. Beta had mentioned that he was initially uncomfortable soliciting donors for money. However, the professional development he received at Harvard allowed him to realize that he was just the

middle man connecting donors to their passions. Dr. Beta stated, “It takes some time and a few good mentors and experiences to help you learn and adopt effective fundraising techniques.”

Additionally, Dr. Beta recognized that having the appropriate donor data software to track affinity scores and donor capacity is essential for academic deans to efficiently identify and manage donor relationships. He referred to this as “time and techniques.” When he became an academic dean at Banana University, Dr. Beta did not have access to the donor data software he had had at his previous institutions. He further explained,

> A lot of deans new to fundraising may not know to ask to be supported with friend-raising and fundraising software…There are certain empirical markers that you can use. If you capture and track those effectively, then it almost points to which donors one should be working with. So that helps prioritize your time and efforts.

Affinity scores are created by combining several factors, including a donor’s level of giving, length of time of giving, and engagement with the institution. Furthermore, donor data software can estimate the giving capacity of a prospective or current donor and predict the amount for which a fundraiser might wish to ask. This information is critical for the academic dean to have access to, as it may inform which current and potential donors the academic dean should be developing relationships with, which helps manage the academic dean’s limited time to fundraise.

Lastly, Dr. Beta acknowledged that academic deans need to create fundraising allies within the college and development team. For instance, he shared that his college’s associate dean may be interested in advancing to deanship. Therefore, Dr. Beta has encouraged her to attend a CASE conference and sometimes invites her to attend donor meetings with him. Dr. Beta explained,

> If there is a donor with her area of expertise, I will introduce them and take a second seat because it's an opportunity for her… and while I didn't initially have such opportunities, I have been trying to pass the opportunity on.

Dr. Beta understands that having fundraising allies is essential to effectively fundraise because one person cannot do it all. Additionally, he recognizes the value of preparing future deans to fundraise because it takes time to become comfortable asking donors for money.

Academic Deans' Preparation for Fundraising

When asked how higher education institutions can help academic deans become effective fundraisers, Dr. Beta underscored that future academic deans need to know that fundraising will be a part of their job responsibilities. He clarified,

> I think it needs to be clear that fundraising is something you are going to be asked to do, but doing so in ways where institutions do not scare off good candidates that could do fundraising. Candidates may not have the experience, so institutions will need to figure out ways to support them and aid them to become comfortable with the work.

Furthermore, higher education institutions need to work with academic deans to explain how fundraising works for a college or unit and the entire higher education institution. Dr. Beta suggested that new academic deans be paired with seasoned deans. He stated, "You can learn a lot from your colleagues. You can learn courage from your colleagues on the path to building your own confidence with fundraising." Dr. Beta encouraged academic deans to attend a CASE conference to receive professional development and to become knowledgeable about the institution's alumni association. Dr. Beta concluded that if new academic deans have taken these steps to learn about fundraising, the most important element is "how it connects to what they believe fundraising is."

Dr. Dennis Delta

Dr. Dennis Delta has served as dean of the College of Arts at Date University since June 2017. Founded in the 1960's, Date University currently serves more than 30,000 undergraduate and graduate students in nine academic colleges across six campuses. Ranked as a top national university by U.S. News & World Report, Date is noted for having one of the most ethnically diverse campuses in the SUS. Date University raised approximately $38 million during FY 2018-2019 and has an endowment of over $200 million.

Within the College of Arts, Dr. Delta oversees twelve academic departments that serve over 4,400 undergraduate and graduate students. He earned his Ph.D. in Latin American literature at a public research institution in the northern U.S. Dr. Delta shared that early in his career, he had no intention of becoming an academic dean and was surprised to transition into the deanship. Prior to becoming dean, he rose through the professorial ranks. He served as a director of graduate studies, then department chair, and eventually associate dean. After being associate dean for five years, the deanship opened up, and he decided to "throw his hat in" and see what would happen. Now three years later, Dr. Delta expressed that his favorite part of being an academic dean is having the opportunity to facilitate success of students and faculty and support the work they do. He defined this facilitation as program building, helping the faculty and staff create opportunities that allow them to build thriving programs to advance education.

Prior Fundraising Experience

Before becoming an academic dean, Dr. Delta had no previous fundraising exposure or professional training. He added that as soon as he became dean, learning how to fundraise was "on the job training" from his development officer, who had over twenty years of fundraising experience at Date University. Dr. Delta referenced, "I have gotten more comfortable with three years into this. I am very comfortable approaching folks, and so I think it's learning as you go, which is very important."

Within the first couple of months of Dr. Delta's deanship, he attended a conference of the Council of Colleges of Arts and Science (CCAS), an international organization that fosters inclusive excellence and develops deans to be effective leaders, which he noted is one of the most prestigious organizations for deans of arts and sciences. This conference was specifically for new academic deans and dedicated several sessions to fundraising. When asked if he would recommend the conference, Dr. Delta shared,

> It was helpful. It was sort of an introductory but certainly answered questions that I had about best practices. It sort of let me create a roadmap for both me and conversations with my development officer about best practices and how we were going to approach fundraising as a team. As you know, fundraising from a dean's perspective is really a team effort. In my case, my senior development officer, along with sometimes the vice president and other development people at the university. So it's really a team effort, and you have to kind of develop that approach together.

Additionally, Dr. Delta read several books on development for academic deans. And more recently, in January 2020, Dr. Delta and his senior development officer attended the CASE conference on Advanced Development for Deans and Academic Leaders, a joint fundraising conference that allowed him and his senior development officer to focus solely on advancing fundraising for the college. He shared that the conference was a great experience and he would highly recommend it for all academic deans and development officers. Dr. Delta added, "Going with your development officer, I think it is a bonding experience. Although you bond on the job, it is nice to go together and learn together."

Expectations for Academic Deans to Fundraise

At Date University, the president and the provost view fundraising as an essential element of the academic dean's role by defining the expectations in their appointment letters. Dr.

Delta shared that his term as dean is three years, and noted that his college has experienced many turnovers. He further explained,

> I think it is a limitation to the institution's success in fundraising that we have turnover. Because it's taken me a couple of years just to get my feet wet, and the first year is a wash because you are overwhelmed with the rest of your job. And then so by the end of the second year, you can really start giving attention to fundraising, and then the third year, if you look at my gifts, the three year trajectory is a curve up. Proving that longevity in the job really pays off. This is not an original idea, but the whole game is relationship building.

This three-year limited term creates a conundrum as many of Dr. Delta's fundraising projects consist of large financial commitments pledged over numerous years. For example, he could secure a major gift in 2020 that will be paid over five years, so he might not be able to oversee the entirety of the project. Therefore, academic deans must have the confidence that universities will continue donor-funded projects at the level promised and that donors will fulfill multi-year commitments. Dr. Delta expressed, "It is scary, but sometimes the fundraising goals are one time of year kind of goals. We do need to sometimes look at the much longer horizon for the good of the institution."

Dr. Delta's college had a 2019-2020 fundraising goal of $3 million, which it surpassed. He attributed the fundraising success to the team effort from his dedicated college development officers and support from the vice president of development. When referring to his development officers, Dr. Delta said, "We work very synergistically and very well together." He further explained how their fundraising roles are defined. The senior development officer is the primary person who finds new prospective donors, develops relationships, schedules donor meetings, and determines the right opportunities. Dr. Delta and his senior development officer attend solicitation meetings together for any ask above $100,000. He articulated,

> Generally speaking, I present the hundred thousand and above, and she is always with me. We have a pretty good rapport, so she knows when to speak up and fill in things if I forgot something or answer any technical questions. So we do it as a team. I never go out alone to present a proposal.

Dr. Delta and his development officers have overlapping roles in donor stewardship. They take a team approach to touch every donor multiple times a year. The assistant development officer oversees the college's smaller gifts and oversees mailing donor holiday and birthday cards. He explained that given the size of the college and university, the college is understaffed with only two assigned development officers.

Qualities Needed for Academic Deans to be Effective Fundraisers

Although Dr. Delta mentioned that he has limited personnel resources for fundraising, he highlighted the qualities and traits he believes are needed for a dean to be an effective fundraiser: knowing the donor, being a creative listener, exuding openness, and understanding the practice of patience.

Knowing the Donor. Dr. Delta feels that an academic dean must have tenacity with the understanding that raising money is not just about walking into a room, making a solicitation, and expecting the donor to write a check. He noted, "You have to build relationships. That is the key." Dr. Delta shared that a dean must know the donor and really listen and hear what they are passionate about. Dr. Delta stated, "You really have to know your donor, the donor expectations, and even unspoken expectations."

For example, Dr. Delta described an experience working with a women's philanthropic organization, to which the college submitted a grant request for $100,000. He noted that the faculty did a beautiful job presenting the proposal and explaining the project, although the project was not selected to receive funding. However, looking back, Dr. Delta realized that they never emphasized the impact the project would have on the community. Therefore, academic deans need to know that donors always want to know the impact a gift will make on the university and/or community, even if these expectations are not verbalized by the donor.

Being a Creative Listener. Dr. Delta shared that a dean must be a creative listener, be flexible, and ask the right questions to be able to guide the donor in the direction of making a gift. Dr. Delta shared an experience of working with a married couple for several years. The couple had the capacity to make a major gift, and the wife had expressed a passion for the women's studies program. After a long courtship with the couple, the husband told Dr. Delta that they really wanted to help save the environment. Dr. Delta quickly pivoted and shared that the university had an environmental studies center. Although the environmental studies center was not in the College of Arts, Dr. Delta was able to guide the donors to make a gift to the university. When referring back to this experience, Dr. Delta stated, "We could have brushed the donor off and probably would continue to get small gifts… But I kind of realized in the moment they were not going to give a big gift to women's studies." Dr. Delta shared the valuable lesson learned:

> You have to be flexible, you have to listen carefully, and you have to figure out another way to make them happy. Now, that couple is extremely happy, and they continue to give and give bigger gifts to us even though they have the million-dollar gift to the environmental studies center.

Exuding Openness. Dr. Delta believes that a dean should never judge a book by its cover when working with donors. For instance, he discussed an experience that highlights his belief that development efforts should not judge potential donors on their past philanthropic history. After inheriting a dean's council member who had served on the council for several years and had never given the annual council contribution, Dr. Delta misjudged the donor's capacity to make a major gift to the institution. After he got the council member connected to what she was truly passionate about, she became one of the college's most prominent advocates. Dr. Delta emphasized that securing this major gift took a few years.

Understanding the Practice of Patience. For that reason, one of the most essential qualities for an academic dean to be successful at fundraising is patience. After being anxious in his first year, Dr. Delta learned that it could take years to see a gift come to fruition. He underscored, "I didn't realize that this is a long-term game." By understanding that the process of fundraising takes time and patience, Dr. Delta is more confident in fundraising as part of his job. Gifts will come, he explained, "They do if you are making the relationships, introducing yourself

to new folks, and developing that relationship, the gifts will come." When asked to summarize what he had learned from year one to now, Dr. Delta explained this was the number one lesson learned.

Deans' Fundraising Roles and Responsibilities

Academic deans must always be fundraising to help further the institution's mission. The academic dean should consistently be sharing the college's and institution's mission with donors and aligning the interests of the donors to the mission of the organization. When asked to define successful fundraising in higher education, Dr. Delta stated,

> I think successful fundraising is when you can match the needs or desires of the students and faculty to philanthropists' desires to support a mission-driven goal of some sort. As a dean, you are often helping by listening to find out who could be a potential supporter of a certain program or scholarship.

Dr. Delta further clarified that faculty could play a role in fundraising by being fundraising partners. A dean should try to utilize all of his/her resources when fundraising, which should entail developing fundraising partners among the college faculty. The closer a donor can get to the action, the better they can see first-hand what is happening at the ground level. In order to share a meaningful experience with donors, Dr. Delta expressed that he encourages department chairs to interact and start building relationships with donors because sometimes they are closer to the action than the dean is. Dr. Delta described,

> I think most chairs imagine what it means to ask for money. And I think what I am trying to emphasize is that it's not the case. We don't want you to ask for money. We want you to develop the relationships… I think it puts them at ease because nobody wants to have to go ask for money. It's hard and scary. Until you do it a few times, it's a scary thing to do and awkward. And so I think I am trying to emphasize the relationship-building at the chair level, and then it will evolve into making the ask.

Nonetheless, getting chairs involved with fundraising, Dr. Delta noted, is one of his biggest challenges in fundraising due to time constraints. He stated, "I manage twelve departments, each having either a director or chair, and getting those folks comfortable with being good fundraising partners, because they have time restraints too." For example, a benefit of Dr. Delta's approach would be to afford department chairs the experience of working with donors, thus giving time back to academic deans to focus on other projects. Dr. Delta suggested,

> It would really be helpful not to have to go to the first preliminary meetings. I think it would be good to have chairs trained and have them go with the director of development officer instead of the dean going.

Since department chairs typically become academic deans, this soft approach would create informed fundraising partners who could educate the community on the college's work and offer opportunities for chairs to gain valuable fundraising experience. Dr. Delta shared that it is difficult for the dean to do all the fundraising and as many fundraising partners as possible are needed in a community like theirs. Dr. Delta recognized that challenges exist in higher education fundraising. However, he focuses on furthering the institution's mission while utilizing his resources.

Barriers to Higher Education Fundraising

Dr. Delta identified several challenges and barriers he faces when fundraising at Date University. The amount of time needed for fundraising coupled with balancing the different aspects of the deanship is a big challenge. He stated,

> Fundraising is just really one aspect of our job. And so, I think finding the time it takes that one has to dedicate to fundraising means that the dean has to make sure he or she has an excellent team of associate deans, chairs, or whomever that are dedicated in other areas of college management to free up time for the dean.

Dr. Delta further explained that he is continuously competing for philanthropic dollars in the community. Jokingly, he shared that there is a fundraising event every night of the week raising money for a worthy cause, so the need to distinguish and differentiate your organization is critical. Dr. Delta noted that the majority of giving, roughly 70 percent, comes from friends in the community, not alumni. However, most community members are not native, therefore Date University is not well-known within the community. Getting the word out about the work of Date University is extremely pertinent to competing with other nonprofit organizations in the community. Dr. Delta shared that the college created a Hearts Ambassadors program, made up of community members who have made a financial commitment to the college and are committed to spreading the word about the good work the college does.

Lastly, Dr. Delta highlighted that Date University is comparatively young, only 59 years old. Therefore there is a particular challenge to get alumni connected and involved with the university. He shared that in its first 25 years, Date University was a commuter school, so they are now just getting alumni who are in the stages of their careers to make major gifts back to the institution. Although Dr. Delta identified several challenges new academic deans will face when fundraising for higher education institutions, he offered several recommendations to help fundraise.

Academic Deans' Preparation for Fundraising

For deans to be better prepared to manage fundraising barriers, Dr. Delta recommended that all new academic deans should go through professional training in which real case studies are presented to learn the right and wrong ways to fundraise. He referenced the CASE Advanced Development for Deans and Academic Leaders Conference, where he heard from successful fundraisers around the country. Dr. Delta highlighted, "You could really learn from what they did right and what they did wrong and their processes. Those trainings, I think, are absolutely essential for deans."

Additionally, Dr. Delta felt that academic deans need the opportunity to gather and learn from one another on best fundraising practices. He revealed that academic deans need to learn or be coached on how to involve university leadership in their fundraising efforts. He explained, "I feel like one of my biggest challenges is competing to get the president's and the vice president's attention to an opportunity." Sometimes the level of the solicitation being made needs to have the top leadership from the institution present. He noted that he typically has four to five donors a year that need presidential attention. Therefore, Dr. Delta recommended that developing and navigating relationships with institutional leaders should be included in the training for new academic deans.

Similarly, he advised that academic deans need to be trained to establish and work with college advisory boards. He stated, "The pros and cons of an advisory board, best practices of establishing them, maintaining them, all those things that need to be definitely front and center during the first year of a dean's life." Dr. Delta further expounded that he is overseeing a couple of advisory boards and is experimenting with one of the boards by giving complete power to the chair to set the agenda and the quarterly meetings. He explained that the one time the board members led breakout discussions, it worked very well, so he experimented with giving the board full control.

Dr. Delta recommended that academic deans and development officers create professional development opportunities on fundraising for associate deans, department chairs, and center directors. Thinking about the institution's success, academic deans need to create a succession plan for the college's fundraising efforts. Associate deans, department chairs, and center directors can begin developing relationships with donors to not only advance the university but gain firsthand experience. Noting that most deans have been department chairs, he stated, "Quite frankly, the chairs will be future deans, if not our deans, someone else's dean. It is

the responsible thing for us to try to figure out who is coming behind us, start getting their feet wet, getting trained, and get the experience going out."

In addition to providing training and professional development to all academic deans, Dr. Delta recommended that higher education institutions extend deanship terms to reduce constant turnover. He clearly articulated,

> A real donor, a strong donor that is really going to invest their money into something, has to have that trust level with the people at the institution. So when you have a turnover in the deanship that really affects those relationships. And it's almost like all the donors have to start over. They may have the relationship with the development officer, which is very valuable. Still, I have found that at the end of the day, they really want a dean or president massaging their egos and making sure that the plans they are going to support are going to have longevity as well.

Dr. Delta believes that, consequently, fundraising at higher education institutions is heavily influenced by the deans' longevity.

Dr. Gary Gamma

Dr. Gary Gamma has served as dean of the School of Business at Guava University since 2010. Founded in the late 1800s, Guava University serves nearly 10,000 undergraduate and graduate students. According to U.S. News & World Report, Guava University is one of the top institutions for advancing social mobility by enrolling and graduating a large portion of undergraduate students with Federal Pell Grants.

Within the School of Business, Dr. Gamma oversees four departments with nearly 1,000 undergraduate and graduate students and 45 faculty. Additionally, in 2018 Dr. Gamma was approached by the university president to serve as the Vice President for University Advancement and Executive Director of Guava University Foundation, which oversees over

twenty advancement staff. In this unique, dual position Dr. Gamma has split roles with one foot in academia and one foot in advancement.

Dr. Gamma received his Ph.D. in Business Administration with a concentration in Management from one of the larger SUS institutions. He is a former McKnight Doctoral Fellow and McKnight Junior Faculty Development Fellow. (The Florida Education Fund established the McKnight Doctoral Fellowship Program in 1984 to increase the number of Blacks and Hispanics who earned advanced degrees in disciplines where there is a discouraging lack of diversity.) Early in his career, Dr. Gamma did not have any desire to become an academic dean. In 2009, Guava University's provost approached Dr. Gamma to consider serving as interim dean for the School of Business while the university conducted a national search. While serving as interim dean, Dr. Gamma quickly realized that he could still work with students as dean, but on a higher level. He explained, "I did not want to be a dean because I thought I wouldn't be able to interact with students. I realized I could. It would just be at a different level and in a different way. So then I went through the national search and was selected as the candidate."

As a long-standing faculty member at Guava University with over twenty years of service, what Dr. Gamma enjoys most about being an academic dean is working with students and providing guidance to set students up for success in their future professional careers.

Prior Fundraising Experience

Before becoming an academic dean, Dr. Gamma did not have any formal professional development or training in the field of fundraising. However, when serving as a junior faculty member, Dr. Gamma had the opportunity to attend donor meetings and visit with various university corporate partners. He stated,

> I was groomed under the dean, who I would have considered a master fundraiser. So my professional development as a faculty member was more of the dean inviting and including me in meetings, discussions, and trips with various corporate partners. I didn't

start doing what I would call formal professional development in the fundraising area until I was actually dean.

After becoming an academic dean, Dr. Gamma began attending seminars and workshops that had fundraising components. These included CASE, Academic Impressions, and AACSB. He shared that some of the workshops were for academic deans and fundraising. Some were non-discipline focused fundraising workshops, and others focused on helping business deans be effective with a component of the professional development tied to fundraising. Dr. Gamma revealed that he self-selected to attend the majority of the seminars and workshops, and a few of the professional development trainings were recommended by the institution's provost.

Like Dr. Alpha, Dr. Gamma believes his background and training in business have equipped and prepared him to fundraise. Faculty from business programs have frequent interactions with corporations and organizations, whether that be recruiting students, serving on advisory boards, or seeking curriculum input from the industry. Therefore, Dr. Gamma thinks that making connections with corporations and alumni comes more naturally than it does to his peers. For example, he referenced, "A dean from the college of education is typically working with the superintendent of a school system or principals from specific schools. Those entities are not readily making donations to a higher education institution." By having a business background, Dr. Gamma believes that he is better prepared to fundraise than his counterpart academic deans.

Expectations for Academic Deans to Fundraise

Serving as both vice president of university advancement and academic dean, Dr. Gamma is responsible for raising $12.6 million annually for the university and $500,000 for the school. He explained that there are only five development officers for fourteen colleges and schools, so they have put in place a "plug and play infrastructure" to support the deans, which means that the development officers work with multiple colleges or schools at one time, depending on the need.

Dr. Gamma pointed out that he currently does not have a dedicated school-level development officer and that his executive assistant helps with fundraising efforts for the school. In a typical week, he works with corporate partners and alumni to secure funding for programmatic support or student scholarships.

When he became the vice president of university advancement in 2018, he recognized that Guava University had limited resources, so Dr. Gamma hired consultants to provide fundraising professional development to the academic deans. During the professional development, academic deans learned "Fundraising 100" and how to develop potentially fundable projects. He explained, "We are providing fundraising training because there are some dos and don'ts. And you would be surprised how many people step into the don'ts really quickly." As a result of the professional development provided, several deans have had projects funded by donors. Therefore, Dr. Gamma believes that, with the restricted resources available university-wide and academic deans having limited fundraising experience, it is essential to implement a teamwork approach. He further articulated,

> We have broken down the fundraising components into fundraising from alumni, fundraising from corporate partners, and fundraising from related foundations… So we are now meeting as a team because I do not have enough staff to provide colleges or schools with one dedicated person.

Additionally, Dr. Gamma noted that having consultants work individually with the academic deans encourages the deans to think strategically about who is the best person to make a solicitation on behalf of the university. Recognizing that there is not a "one size fits all" approach working with donors, Dr. Gamma stated,

> And that is the biggest thing with training. We go through the same training, and we will come out with totally different interpretations of how they are supposed to work. And depending on our personalities, our relationships that we already have, how we engage

with people, our customer service, all of those things are going to have as much impact on how successful you will be at fundraising.

Dr. Gamma confessed that he was just trying to figure out what to do during his first year as dean. He can now identify what qualities and characteristics make an academic dean an effective fundraiser while recognizing barriers and challenges that exist in higher education institutions.

Qualities Needed for Academic Deans to be Effective Fundraisers

Dr. Gamma identified a few qualities an academic dean needs to possess to be an effective fundraiser: the knowledge to navigate the institutional landscape, being patient and strategic, and the ability to create a culture of philanthropy.

Navigating the Institutional Landscape. Dr. Gamma shared that an academic dean must be able to align the college's or school's priorities with the university's priorities. Knowing those boundaries and understanding the delineations are helpful so as not to compete with university advancement, which is promoting the university's fundraising priorities. Dr. Gamma shared an experience of securing a corporation's verbal commitment and how it backfired once the university administration learned about the potential gift. After eagerly sharing the news with the university president, Dr. Gamma quickly realized that the university leadership had a different goal to secure a much larger gift, four times the size of the gift verbally committed. The president escalated the solicitation to representatives higher up in the corporation, and eventually Guava University received no gift at all. This is an excellent example of why academic deans need to communicate in advance with university advancement and university leadership on solicitations and work together to secure funding that supports the institution's mission. Furthermore, when working with large corporations and organizations, the organization's representatives prefer to have one contact from the higher education institution making one

collaborative solicitation, which shows that the institution has a strategic vision and is effectively communicating internally.

Being Patient and Strategic. Dr. Gamma understands that securing a gift takes building relationships and creating meaningful projects that will resonate with prospective donors. All of this takes time. Dr. Gamma mentioned, "My bigger gifts have been two-, three-, four-, or five-year projects. They do not come overnight, so you have to be able to cultivate, steward, and maintain them. And that is very time-consuming." Additionally, academic deans need to be able to shape programs and projects into meaningful ideas that donors will want to support. Dr. Gamma stated, "So you first have to understand how to fundraise and how to create meaningful projects or initiatives that will tug on the heartstrings of potential donors." By asking donors the right questions and leveraging creative listening skills, academic deans will be able to resonate with individuals or organizations that want to fund specific projects.

Create a Culture of Philanthropy. Since academic deans need to find ways to connect with alumni, Dr. Gamma recommended instilling in students the value of giving back and encouraging them to think of ways to give back once they are alumni. He mentioned,

> Giving back is ingrained in our school's culture. I have students that are about to graduate now, and they tell me as soon as they can, they want to give $100,000 so I can get on the big board. So I am fortunate in that respect that our alumni are kind of ingrained… So when they get out, it is not a hard ask. It's more of letting me remind you.

Deans' Fundraising Roles and Responsibilities

Dr. Gamma believes that academic deans must always be looking ahead at the bigger vision, be knowledgeable about fundraising, and be prepared to make the institution's solicitations. Dr. Gamma noted,

> In my first year, I was just trying to figure out what the heck to do. Because as a faculty member, I talked to corporate partners, but you are typically talking to them about specific functional areas. As dean, you have to have a bigger vision, be a lot more knowledgeable about the pots of dollars that companies can give from… As the dean, I have to now make the ask. And I will say that was probably the hardest thing for me. I think I have gotten better over time.

Dr. Gamma shared that he is continuously improving his fundraising practice and is committed to supporting the university. Understanding that fundraising is a very involved process, he stressed the importance of building relationships as a dean's role and responsibility. Dr. Gamma stated,

> You have to put in all the time that it takes to develop the relationship, to get to the ask, and then you have to do all things on the back end to steward the money once it comes in. And then stewarding the relationship and maintaining the relationship. So I think the biggest thing is not thinking of it as a sprint but as a marathon with multiple tentacles because it is a long-time relationship.

Barriers to Higher Education Fundraising

Dr. Gamma mentioned repeatedly the amount of time and resources needed to fundraise and he underscored that fundraising is very time-consuming considering the many competing responsibilities of deanship. He recommended that current deans and higher administration help reduce the time needed to learn fundraising basics by working with faculty sooner. Dr. Gamma noted, "If deans and upper administration actually started including fundraising as a suggested professional development topic early on, it would help cultivate more individuals." As current deans think about succession planning, fundraising training should be at the top of their minds. He explained,

> Giving faculty seminars and workshops that have fundraising as a component of training so that they can start demystifying the process of fundraising because it is a process. You can't just go and ask people. You have to understand how to first fundraise, how to create meaningful projects or initiatives that will tug on the heartstrings of potential donors, and share that message. And then cultivate them over time to be able to be comfortable to make the ask.

Furthermore, Dr. Gamma explained that fundraising and grant writing are two different components to secure financial support. He believes that successful grant writers do not equal great fundraisers. Dr. Gamma articulated,

> I have some colleagues who are prolific grant writers and secure millions of dollars of grant funding from federal agencies, but fundraising is a whole different animal or beast. And so, in many ways, they probably need the most training because they think they know how to go get money. But how to get the money that is grant money versus how to get the money that is philanthropic money from a donor are two totally different animals. And so, we need training.

From Dr. Gamma's perspective, the value of building relationships and being able to navigate donor's expectations is essential to fundraising, whereas securing funds from federal agencies requires less of a human element.

Academic Deans' Preparation for Fundraising

When asked how higher education institutions can help academic deans learn to fundraise, Dr. Gamma reiterated, "Training, training, training." Dr. Gamma believes training is essential not only for faculty to become team players but for faculty with the career goal of becoming an academic dean. Since most deanships last an average of five years, he highlighted the importance of beginning fundraising training when individuals are serving as faculty. Dr. Gamma explained,

> If a person starts the fundraising training as a faculty member, they are ready to hit the ground when they move into a dean's position. If they do not start going to fundraising training until they start, it has been a year, two years, or even three years to get out of that phase. Larger gifts can take up to eighteen months to three years. Unless they have already developed and cultivated relationships before moving into the deanship, five years is not a lot of time to make a dent in the development landscape.

He recommended bringing in consultants to help with the training because faculty members are more open to and accepting of an outsider's input. Training should include how to cultivate a long-term relationship with prospective and existing donors, write proposals for fundable projects with deliverables, and begin working with the student body and alumni to give back to the university.

In addition to training, Dr. Gamma encouraged current academic deans to think about their succession plan for the institution and begin grooming faculty who aspire to become academic deans.

Emerging Themes

Each participant's interviews were developed into a case, and the four cases were examined to identify similarities and differences and determine themes. Cross-case analysis of each case helped me identify four emerging themes pertaining to fundraising and best practices: qualities and traits needed for academic deans to be successful fundraisers, university support to set academic deans up for success, the importance of collaborative fundraising, and academic deans' longevity.

Theme One: Qualities and Traits Needed for Academic Deans to be Successful Fundraisers

Although all four participants identified differing qualities and traits needed for academic deans to be successful fundraisers, an emerging theme was that academic deans need to practice patience and active listening, as summarized in Table 3.

Table 3

Theme 1: Qualities and Traits

Theme #1- Qualities and Traits Needed for Academic Deans to be Successful Fundraisers
1. **Patience** – By understanding that fundraising is a long game, academic deans can be more confident in their fundraising process. 2. **Active Listening** – Active listening is not only the application of slowing down to reflect and gain insight, but it is the ability to pivot a conversation in a different direction by asking the right questions.

Patience. By understanding that fundraising is a long game, academic deans can be more confident in their fundraising process. Developing donor relationships, creating meaningful projects, and navigating donors' interests to find alignment with a college's priorities all take time. In higher education fundraising, each donor and each gift to the institution is unique, meaning no guidebook determines the length of time that will be required to see a gift come to fruition. As Dr. Delta said, "Gifts will come. They do if you are making relationships, introducing yourself to new folks, and developing relationships." Similarly, Dr. Gamma highlighted, "My bigger gifts have been two-, three-, four-, or five-year projects. They do not come overnight, so you have to be able to cultivate, steward, maintain them. And that is very time-consuming." Academic deans have to trust the process and remember that fundraising is a marathon, not a sprint.

Active Listening. All four participants discussed the value of active listening when working with donors. It is a tool that can be sharpened over time and with experience. Active listening is not only the application of slowing down to reflect and gain insight, but it is the ability to pivot a conversation in a different direction by asking the right questions. The ultimate goal for a fundraiser is to match a donor's philanthropic wish with the institution's needs. Some donors might know precisely their philanthropic wish, whereas other donors might know that

they would like to support the institution but do not know what would be a meaningful gift. A great example of active listening is Dr. Alpha's experience working with a family-owned company. The company was interested in making a gift to the university but did not initially know what the gift would support. After several meetings with the company, Dr. Alpha was able to present a proposal that would impact student lives and be a good return on investment for the company. She stated, "I actually made three goals merge into one piece." By knowing the student body and actively listening to understand the aspirations of her donors, she was able to secure a meaningful gift that would impact not only students but also the company.

Academic deans, like all fundraisers, must both ask the right questions and practice active listening in order to better understand a donor's life experiences and passions and determine how best to connect the donor to the institution. The practice of active listening demonstrates to donors that they are being heard and valued for their life experiences and passions. By asking donors the right questions and leveraging active listening skills, academic deans can resonate with donors to help them make a meaningful gift to the institution.

Theme Two: University Support to Set Academic Deans Up for Success

A second theme emerging from the cross-case analysis was that fundraising training and professional development are imperative for academic deans. All four participants revealed that their past career aspirations did not entail becoming academic deans. Looking back on their academic careers, they now realize that fundraising training and professional development would have benefited them and their institutions. Consequently, higher education institutions should be playing an active and strategic role in preparing future and current academic deans to fundraise.

From the participants' reflections and recommendations for helping future academic deans to be successful fundraisers, three subthemes emerged: top leadership playing an active role; synergies among academic deans; and fundraising training and professional development

for faculty members, department chairs, and incoming academic deans, as summarized in Table 4.

Table 4

Theme 2: University Support

Theme #2 – University Support to Set Academic Deans Up for Success

1. **Top Leadership Playing an Active Role** – Top leadership, including the university president and provost, need to play an active role in fundraising.
    - Appointment letters with annual fundraising goal
    - Making solicitations alongside academic deans
    - Collective fundraising approach for university
2. **Synergies Among Academic Deans** – One of the best ways of learning fundraising best practices is from academic deans' peers.
    - Seasoned deans be partnered with new academic deans to learn dos and don'ts of fundraising
    - Coaching one another on how to work with upper administrator leaders
    - Power of learning from one another's fundraising mistakes
3. **Fundraising Training and Professional Development** – Receive formal professional fundraising training throughout deanship.
    - Deans attend CASE conferences with development officer
    - Learn from real fundraising cases, both successes and failures
    - New academic deans learn fundraising processes that are specific to the institution

Top Leadership Playing an Active Role. Top leadership, including the university president and provost, need to play an active role in fundraising. Three of the academic deans mentioned that their appointment letters discussed their fundraising responsibilities. Each year, their fundraising goals are approved by the provost and VP of advancement. Dr. Beta is the only academic dean who does not have an annual fundraising goal, nor is fundraising discussed during his annual reviews with higher administrator leaders. Dr. Beta raises approximately $150,000 to $300,000 a year, compared to Drs. Alpha, Gamma, and Delta who each raise $500,000 to $10 million annually. Because the expectations for these three deans to fundraise were set on day one, these three deans have devoted a lot of time and energy to fundraising for their institutions. The role higher administration leaders take in encouraging and expecting fundraising directly correlates with the funds raised during an academic year.

Top leadership needs not only to be involved with setting goals and expectations, but also to play an active role in making solicitations, either with academic deans or in support of academic deans' fundraising goals. Dr. Delta identified one of his most significant obstacles to fundraise as getting the president's or provost's attention to make a major gift solicitation that requires top leadership to attend the donor meeting. Just as some donors expect an academic dean during meetings, major gift donors expect the attention of upper administration in order to consider making a seven-figure financial commitment to a university. Dr. Delta stated, "A real donor, a strong donor that is really going to invest their money into something, has to have that level of trust with the people at the institution."

Similarly, Dr. Gamma discussed a corporation that declined to make a gift to his school when the university leadership approached the corporation with a different solicitation following Dr. Gamma's donor meeting. Although higher education institutions are comprised of several academic colleges, they represent one organization and cannot have conflicting solicitations because it implies a lack of leadership, organization, and communication. Therefore, these examples both illustrate why university presidents and provosts should be collaborating, not competing, with academic deans to help meet annual fundraising goals.

Synergies Among Academic Deans. Although all of the deans interviewed recommended some kind of formal professional development for fundraising, they believe the best way of learning fundraising best practices is from their peers. Dr. Alpha shared that higher education leaders should facilitate academic deans gathering to discuss fundraising best practices, and Drs. Beta and Delta also noted the importance of peer support. Dr. Beta recommended that seasoned deans be partnered with new academic deans to learn the dos and don'ts of fundraising. Dr. Delta suggested that new academic deans be coached on how to work with upper administrator leaders to become fundraising partners. A common theme was the

power of learning from one another's fundraising mistakes. By learning from each other's mistakes, academic deans can understand the complexities and challenges associated with fundraising while also avoiding some of the fundraising pitfalls that often derail inexperienced and underprepared deans.

Fundraising Training and Professional Development. All four participants had received formal fundraising professional development by attending CASE conferences. Both Drs. Alpha and Delta attended CASE conferences with their development officers, and they found the experience to be extremely beneficial to developing a more synergistic relationship with their development officers. Participants recommended formal professional development, not only early in a deanship, but also ongoing throughout the deanship, and that the sessions should include opportunities to learn from real fundraising cases, both successes and failures.

Additionally, they recommended that new academic deans learn about fundraising processes that are specific to the institution since processes can vary from institution to institution. To do so, the participants suggest that new academic deans quickly become friends with their development officers.

Furthermore, higher education institutions need to begin involving faculty members, department chairs, and associate deans earlier in their careers by providing education on fundraising best practices and making them feel comfortable with the idea of asking donors for money. As Dr. Beta mentioned, it needs to be clear that fundraising is one aspect of the dean's role so that institutions do not scare off prospective academic deans. Drs. Alpha and Gamma both shared that by working earlier with faculty members and department chairs, higher education institutions will present a realistic picture of the deans' responsibility to fundraise and can start demystifying the process of fundraising. Because the average deanship is approximately five years, if faculty and department chairs receive fundraising training and professional

development before becoming academic deans, they will be better prepared to effectively fundraise when they assume the role. These trainings and professional development opportunities could entail attending donor meetings with an academic dean and/or development officer, being at the table to discuss fundraising strategies for specific donors, learning the differences between grant writing and fundraising, and learning fundraising dos and don'ts from peers. By having these experiences, faculty, department chairs, and associate deans can become more comfortable and familiar with fundraising.

All four interviewees encouraged academic deans to continue to strengthen their fundraising best practices by regularly attending professional development opportunities, where real case studies are presented to help refine their notions of right and wrong ways to fundraise. They attributed their success in fundraising to always aspiring to learn more about fundraising practice as it becomes more sophisticated.

Theme Three: The Importance of Collaborative Fundraising

Although all four participants highlighted the lack of resources and fundraising staff at their institutions, all four discussed how successful fundraising uses a collaborative, teamwork approach. Such an approach requires frequent and open communication with fundraising partners--development officers, higher leadership, or faculty members--to determine fundraising priorities for an academic college, identify who would be best positioned to financially support those priorities, and then collectively develop a fundraising strategy. Two subthemes emerged: building a strong rapport with fundraisers and creating a fundraising culture among faculty, as summarized in Table 5.

Table 5

Theme 3: Collaborative Fundraising

Theme #3 – The Importance of Collaborative Fundraising

1. **Building a Strong Rapport with Fundraisers**
2. **Create a Fundraising Culture among Faculty**
    - Academic deans cannot do all of the fundraising alone.
    - Faculty rarely have a good understanding of fundraising and its complexities.
    - Important to seek fundraising partners among faculty, especially as academic deans think about succession planning.

Building a Strong Rapport with Fundraisers. Drs. Alpha and Delta were the only deans interviewed who have dedicated fundraising staff assigned to their colleges. They both highlighted the overlap between their fundraising roles and those of their development team and credited their fundraising successes to their collaborative, teamwork approach. Drs. Alpha and Delta set the vision and strategy for fundraising projects and programs. However, they collaborate with their development teams to identify personalized strategies for prospective donors. Drs. Alpha and Delta emphasized that their close relationships with their lead development officers help them work synergistically with donors. Dr. Alpha explained that when working with donors, "We have to complement one another when speaking and pick up one another's cues to complete a statement." Drs. Beta and Gamma lean on faculty and university-level administrative support to be their fundraising partners. Unlike Drs. Alpha and Delta, Drs. Beta and Gamma do not have dedicated fundraising staff assigned to their colleges, which explains why they try to build the fundraising teamwork approach with faculty and staff. Drs. Alpha and Delta raise millions of dollars annually, and they are set up for success by having the resources of multiple development officers to share the responsibility.

Drs. Beta and Gamma both believe that the academic dean is in the best position to solicit major gifts. Dr. Gamma revealed that his fundraising support staff is his administrative assistant, and Dr. Beta shared that he typically works with two development officers who support the entire university. Dr. Beta noted that the two development officers bring fundraising

opportunities to him, but they are rarely a good fit. He earlier explained that the development officers do not have the same perspective as an academic dean, so he recruits faculty members as his fundraising allies. Dr. Beta brings the development officers into donor meetings to discuss the mechanics of making a gift to the university after a solicitation is made. This fundraising approach and style is the opposite of Drs. Alpha and Delta who share overlapping fundraising roles and responsibilities with their development team.

Creating a Fundraising Culture among Faculty. Regardless of the size of the fundraising team that supports the academic dean, all participants felt strongly about creating a fundraising culture among faculty. All participants stated that academic deans cannot do all of the fundraising alone. However, faculty rarely have a good understanding of fundraising and its complexities. Dr. Alpha noted, “Bringing faculty and my leadership team to build empathy for an understanding of fundraising is a difficult task.” By understanding the importance and the different facets of higher education fundraising, faculty members can play an active role in sustaining and improving students' quality of education. Drs. Alpha, Delta, and Gamma agreed that it is important to seek fundraising partners among faculty, especially as academic deans think about succession planning. However, Drs. Alpha and Delta emphasized that seeking faculty partners is not a strategy to replace development officers but rather to work with the development office in tandem to create a larger fundraising team for the college. Not only should academic deans be thinking ahead to equip faculty with the knowledge to fundraise, but having faculty who understand the fundraising process can help move donor relationships towards a solicitation. Dr. Delta earlier explained that sometimes donors need to be close to the action, and faculty can help develop relationships with donors and provide first-hand experience at the ground level.

Theme Four: Longevity of Deans

An emerging theme from the collected data was that the typical five-year deanship severely limits an institution's fundraising capacity, as summarized in Table 6. Academic deans are traditionally not well-prepared to fundraise when they first assume the dean role (Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). Participating in professional development and getting the experience needed to feel comfortable fundraising takes time and thus limits the time remaining for academic deans to fundraise successfully. Participants believed that they achieved this comfort level at the end of year two or even in year three of their deanship. With fundraising being primarily driven by the relationships developed, a major gift donor would have to develop trust with a new academic dean every five years.

Table 6

Theme 4: Dean Longevity

Theme #4 – Academic Deans' Longevity
Five-year deanship severely limits an institution's fundraising capacity. • Dean's level of comfort to fundraise begins at end of year two or even in year three of their deanship. • Fundraising being primarily driven by the relationships developed, a major gift donor would have to develop trust with a new academic dean every five years. • Type of university, regional or research, at which the academic dean is employed will likely impact the level of fundraising expected of the dean and the resources provided to support fundraising.

Therefore, all four deans addressed the need for academic deans to think beyond their own deanship to the long-term impacts of fundraising projects and programs. If academic deans are visionary leaders, they can provide future deans with a smoother transition to working with donors. Dr. Delta shared that such succession planning is the responsible thing for academic deans to do.

Furthermore, presidents, provosts and development officers should be working in tandem with academic deans when fundraising for major gifts to ensure that fundraising projects that could last longer than three to five years are carried out in accordance with the original plan. This strategy helps strengthen relationships with major gift donors. Dr. Delta stated, "I have found at the end of the day, donors really want a dean or president massaging their egos and making sure that the plans they are going to support are going to have longevity."

Of the four participants, Drs. Beta and Gamma have served as dean at current SUS institutions for more than the national average of five years, and neither discussed the five-year term impacting their role. However, Banana and Guava Universities are not large research universities like Apple and Date Universities. For instance, Dr. Beta stated that at Banana

University, he spends only ten to fifteen percent of his time fundraising, and that the university's fundraising team includes four to six development officers. Dr. Beta believes that the university does not have a sophisticated fundraising system because Banana is a regional university. Similarly, Guava University has only five development officers for fourteen colleges and schools. Therefore, Dr. Gamma shared that they have a "plug and play infrastructure" to support their fundraising efforts.

Both Apple and Date Universities are large research institutions, whereas Banana and Guava Universities would be considered teaching universities. Apple and Date Universities' fundraising programs are more sophisticated and better resourced, which suggests that those universities' culture is more reflective of the current times and resources needed to fundraise. As a result, the type of university at which an academic dean is employed will likely impact the level of fundraising expected of deans and the resources provided to support fundraising.

Research Questions

The purpose of this research study was to understand academic deans' role in fundraising from the perspective of the dean and gather insights on how to better prepare academic deans for fundraising. After examining the four cases and identifying their similarities and differences, to conclude Chapter 4, I revisit the five research questions that guided the study and summarize the collected data.

Research Question 1: In the academic deans' current roles, what do they do related to fundraising?

Depending on the institution, academic deans are expected to fundraise at various levels and bring in resources from multiple sources. The annual fundraising goals for each college and academic dean vary among institutions, depending on the nature of the institution and whether the institution is conducting a comprehensive capital campaign. Academic deans develop and cultivate donor relationships to help secure financial support for their college. Developing

meaningful donor relationships can take several years before a gift is secured. The academic dean's role in maintaining these relationships with prospective and existing donors could include attending meetings, deciding on solicitation strategies, writing thank you notes or personalized birthday messages, and creating individualized proposals.

Yet academic deans must balance the competing responsibilities and time commitments of the deanship with the amount of time dedicated to fundraising. Academic deans need resources and preparation to fundraise following best practices. With the majority of academic deans rising through the academic ranks without any formal preparation to fundraise, academic deans seek formal professional development and lean on the university development office to help understand how fundraising works for the entire institution.

Research Question 2: How should academic deans be fundraising?

Realizing that fundraising is a marathon, not a sprint, academic deans must always be fundraising to help further the institution's mission. By understanding student and faculty needs along with donor aspirations, academic deans have the opportunity to align the two and fulfill a donor's philanthropic wish while supporting the institution's mission. Successful fundraising should always represent an honest dialog, and an academic dean should never compromise the donor's intent to secure a financial gift for the institution. Academic deans should be intentional to consider the impact, positive or negative, a donor's gift will have, both on the institution and the individual making the gift. Dr. Alpha's "power of pause" allows the academic dean to reflect and determine the long-term impact of a gift. It is the academic dean's responsibility to know the donor's expectations, even unspoken ones, when securing a gift.

Furthermore, academic deans must be visionary leaders who think beyond their deanship. Special attention needs to be given to fundraising projects that require multiple years to implement. Academic deans need to recognize fundraising successes and failures and learn from their mistakes in order to prevent the mistakes from occurring twice. As academic deans become

more seasoned with fundraising, they will better understand fundraising complexity and share best practices within the college senior leadership.

Academic deans should utilize all of their available resources when fundraising. This requires sharing fundraising responsibility with the university development office and with the college's leadership, faculty, and staff. With the complexity of deanship and its competing priorities, building a cohesive fundraising team to support the academic dean is essential to fundraising success. An academic dean cannot do all fundraising for a college since an academic dean's number one barrier to fundraising is lack of time.

Research Question 3: What are the barriers for academic deans who engage in fundraising?

The number one fundraising barrier identified by academic deans is the tension between time needed to fundraise and the complexities of a deanship. The larger the college, the less time an academic dean will have to dedicate to fundraising because fundraising is only one aspect of a deanship.

Another consistent challenge identified is educating faculty and college leadership on why fundraising needs to become a part of the fabric of an institution. If higher education institutions worked with faculty and college leadership earlier in their careers to teach the basics of fundraising, it would reduce the time spent needed to work with new academic deans educating them on best practices of fundraising. Mentoring prior to becoming an academic dean would also help reduce personal insecurities about asking donors for money and allow faculty and college leadership to develop relationships with prospective and existing donors. Learning fundraising best practices and developing meaningful relationships with prospective donors takes time to get academic deans to the point of feeling truly comfortable making a solicitation.

Another barrier is lack of support from top administration. University presidents and provosts should play an active role in supporting fundraising by academic deans by knowing their fundraising priorities and encouraging donors to financially support those priorities.

Additionally, the lack of adequate fundraising staff at both the college and university levels is a barrier identified by the academic deans.

Lastly, relatively young institutions do not have access to good data and software on their alumni and donors. Such data includes the data needed to connect with their alumni as well as the data needed to utilize accurate metrics that could predict donors' likelihood of making a gift or the amount he or she could give. These tools are critical for fundraising and could help academic deans strategically plan their fundraising goals for an academic year.

Research Question 4: How do academic deans learn to fundraise?

Even among this sample of academic deans, who were selected for fundraising excellence, it is relatively rare to find a dean who has received formal fundraising training or professional development before becoming a dean. Most academic deans have climbed the academic ladder without any intention of becoming a dean. As faculty they have been so immersed in teaching, research, and community service that fundraising is a whole new concept. Sometimes faculty members are introduced to fundraising intentionally and informally because of the need for an expert in a specific field to attend a donor meeting, and they might receive a few minutes of coaching before the meeting. However, fundraising is viewed as a special project for faculty, not a requirement for performing their job responsibilities. Therefore, academic deans generally receive their formal professional development for fundraising when stepping into the deanship role. The development staff who work with academic deans essentially become the informal trainers and teach the deans fundraising best practices while on the job. As academic deans become more seasoned, they better comprehend fundraising complexity and understand the need to work synergistically with the development team.

Research Question 5: How should academic deans be prepared to fundraise?

Understanding the fundraising process and how fundraising works for a specific institution takes time. Although deans' appointments can be three to seven years, according to

Butin (2016), the average time served is roughly four years. The increasing demands on academic deans to raise private funds, time is clearly of the essence. Therefore, fundraising training and professional development are needed prior to becoming an academic dean. Such professional development should include but not be limited to navigating relationships with institutional leaders, working with advisory boards, cultivating long-term relationships with prospective and existing donors, writing proposals for fundable projects with deliverables, and working with students and alumni to motivate them to give back to the institution. Ongoing professional development is also beneficial to developing relationships with development staff, university leadership offices, and targeted donors. Higher education institutions need to be working with associate deans, and senior faculty earlier in their professional careers to expose them to fundraising best practices. As mentioned repeatedly, developing donor relationships takes time, and if institutions can involve senior leadership and faculty early on in cultivating donor relationships, future fundraising outcomes will benefit.

Conclusion

The study findings revealed that academic deans do not receive formal fundraising professional development before becoming academic deans. However, the majority of academic deans are expected to fundraise starting on day one of their deanships. Most fundraising professional development is on-the-job training, learning from their own experiences and development officers. Depending on the university, academic deans have different resources available for fundraising: the research universities in this study provide more fundraising resources to academic deans than do less research-focused institutions. Chapter 5 connects these findings to the literature presented in Chapter 2 through a discussion of study implications, limitations, and recommendations for future research.

CHAPTER 5: DISCUSSION, IMPLICATIONS, AND RECOMMENDATIONS

Introduction

This study examined the academic dean's role in fundraising from the perspective of the dean and gathered insights on how to better prepare academic deans for fundraising. According to Walcott (2014), fundraising plays a significant role in higher education institutions' economic health. Without external financial investments, providing high-quality programs is increasingly difficult. As institutions become more dependent on philanthropic support, they need a team of fundraisers to represent the institution's mission. The academic dean is the best person to articulate the vision of academic programs (Clevenger, 2014; Drezner, 2011; Hall, 1993; Krahenbuhl, 2004). However, at the time of their appointment, very few academic deans are prepared to fundraise (Buller, 2015; Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). With philanthropy's role in higher education becoming more prominent, the four academic deans featured in this research demonstrate how academic deans can be important fundraising officers and the importance of preparation to poise deans for fundraising success.

Summary of Study

This study investigated how academic deans can impact fundraising for public higher education institutions. This study utilized a basic qualitative research approach by conducting two individual semi-structured interviews with each of four academic deans from the SUS institutions. This chapter examines the salient findings from the research questions:

1. In the academic deans' current roles, what do they do related to fundraising?
2. How should academic deans be fundraising?
3. What are the barriers for academic deans who engage in fundraising?

4. How do academic deans learn to fundraise?

5. How should academic deans be prepared to fundraise?

Several themes emerged from the interviews that can poise academic deans for success in fundraising. By understanding that fundraising is a long-term game, academic deans who practice patience and active listening can develop meaningful donor relationships and best determine how to connect the donor to the institution. Additionally, academic deans need to build meaningful relationships with their development officers and faculty to create a fundraising culture. Academic deans cannot do all of the fundraising alone and need to create a larger fundraising team that understands the fundraising process and can help guide donor relationships. Lastly, with academic deans' short tenure, fundraising training is needed before their appointment and continuing throughout their deanship. Support from their peer deans and academic leadership is required to develop a strong fundraising culture.

This chapter summarizes the study and the conclusions drawn from the findings in Chapter 4 and connects the findings to the literature presented in Chapter 2. It provides a discussion, implications for policy and practice, limitations, and recommendations for future research.

Discussion

As fundraising has gained greater strategic importance, higher education institutions have begun competing for philanthropic dollars (Chan, 2015; Drezner, 2011; Duronio & Loessin, 1991). To understand the importance of this shift, there is a greater need for scholarship to expand the body of knowledge about philanthropy's changing role in higher education. Therefore, this study's findings help to fill this gap in the fundraising research and provide valuable tools for academic deans who aspire to be successful fundraisers. Consistent with the literature, the study's findings illustrate the complexity of higher education institutions and their

fundraising challenges. The comparison of the findings against the literature highlights the need for greater attention to be paid to academic deans' preparation to be fundraising leaders.

Pressures on Institutions to Fundraise

In today's economic environment, demand for higher education has reached unprecedented levels (Croteau & Smith, 2012; Oliff et al., 2012). Available funding is inadequate to support demand; consequently, higher education relies on private funds as a vital revenue source (Bernstein, 2013; Chan, 2015). Fundraising alone will not solve higher education's budgetary problems, but it can complement revenue streams and improve academic quality, access, and affordability (Croteau & Smith, 2012). These changes have influenced the academic dean's role by adding the responsibility of raising funds.

One highlight of this study's findings is that the type of university is a significant factor in the level of attention given to the deans' role in raising philanthropic dollars. Apple and Date Universities are considered to be large research universities compared to Banana and Guava Universities, which are regarded as teaching universities. It is evident from the interview data that the academic deans at Apple and Date Universities are held to a higher standard of fundraising by their institutions' leadership and are reviewed annually on their outcomes. As Kaufman (2004) mentioned, fundraising is no longer considered an extracurricular activity; it is the most visible and demanding role for higher education leaders. Dr. Alpha is expected to secure $5 million to $10 million per year for Apple University and has a six-member fundraising team assigned to the college. Dr. Delta is expected to secure $3 million per year for Date University and has a three-member fundraising team assigned to the college. Not only do these deans receive more resources than Drs. Beta and Gamma, but it is apparent that their understanding of fundraising practice is more sophisticated.

In contrast, Dr. Beta believed that Banana University's fundraising efforts are not as sophisticated because Banana is a "regional" university. The data that emerged from this study

illustrated that although all public universities experience internal and external pressures, the type of university can predict the level of attention given to fundraising and the resources dedicated to fundraising. As such, the academic deans who have access to dedicated fundraising staff acknowledged that their roles and those of their development teams overlap and credited their fundraising successes to their collaborative team approach.

Leadership from academic deans is one response to pressures on institutions to fundraise. The academic deanship is the least studied and most misunderstood position in higher education, especially as it pertains to external funding (Gmelch et al., 1999). The dean is now expected to be the intellectual leader of a college and the fiscal expert, fundraiser, and diplomat (Wolverton et al., 2001). According to Greicar (2009), learning how to be the fiscal expert, fundraiser, and diplomat can be challenging for academic deans. Willingness to learn and persistence to work with faculty and staff on fundraising is needed to meet the challenges of higher education's dynamic and competitive environment. Academic deans must understand their leading role in developing donor relationships and leading faculty and staff towards a culture of philanthropy.

In addition, deans must be visionary leaders, thinking beyond the deanship. As described throughout Chapter 4, being a visionary leader has three aspects. Understanding the student body needs as well as being knowledgeable of faculty research agendas can assist academic deans to be innovative when developing fundraising projects and programs. Because fundraising projects and programs generally take multiple years to implement, the academic dean needs to give significant attention to the positive and/or negative impacts the fundraising project could have on the institution. Additionally, academic deans should be thinking of their succession plan to provide a smooth transition for future deans. By intentionally providing fundraising professional development for department chairs and faculty, the academic dean will create a culture of fundraising that can continue to grow after a dean’s five-year appointment. Drs. Beta, Delta, and Gamma underscored the need to offer professional development opportunities to

faculty who seek to advance their careers and move into university leadership roles. As Dr. Delta said, academic deans are generally drawn from the ranks of department chairs, and the responsible thing for academic deans to do for chairs is to prepare them. Also, Drs. Alpha, Beta, and Delta stressed the need to create programs and projects that will have a longer-term impact on the institution than their deanship tenure. Dr. Beta shared that if you think about the bigger picture, the work you do will likely outlive your deanship.

As institutions across the country look for better ways to prepare new academic deans to influence how a college evolves to meet the economic demands, they will need to provide professional development and training in fundraising prior to the deanship appointment. Gone are the days when academic deans are solely managers of day-to-day operations; they are now leaders in a dynamic environment (Wolverton et al., 2001). In order for academic deans to lead their colleges, they need to be given the tools to succeed.

Preparation and Prior Experience

When academic deans are appointed, few have development experience or adequate knowledge of successful development theory and practice (Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). An academic dean in today's higher education institution is expected to lead the fundraising enterprise in their college and to convey the value of philanthropy to all stakeholders (Hodson, 2010). Congruent with the literature, this study's findings show that all four academic deans were not prepared to fundraise before becoming academic deans; however, they expressed a willingness to learn, although doing so was very time-consuming. The four deans had different fundraising experiences prior to becoming deans but did not receive any formal training or professional development until their deanship. When asked how higher education institutions can better prepare academic deans learn to fundraise, many academic deans replied, "training, training, training," including providing opportunities to engage in fundraising as faculty members, department chairs, and associate deans. Scholars view the

academic dean as the best person to articulate the mission and discuss the funding needed to ensure the vision for an academic program (Clevenger, 2014; Drezner, 2011; Hall, 1993; Krahenbuhl, 2004). Therefore, without formal fundraising knowledge or skills prior to becoming an academic dean, how can new academic deans be expected to be successful early in their deanship? From the cases shared in this study, academic deans revealed that they became more comfortable with fundraising over time as they learned more about the practice by attending professional development conferences and working with their development officer(s).

Institutional Development Offices

Higher education institutions look to institutional development offices for support in diversifying and creating funding opportunities. Most colleges have one or more development officers designated to partner with academic deans to garner financial support. Development has its own specialized body of knowledge, standards, trainings, and career patterns (Worth, 2002). Hall (1993) shared that to take full benefit of a development officer's expertise in fundraising, the development officer must be accepted, trusted, and respected by faculty and the academic dean.

The academic deans in this study who have created a synergistic partnership with the development staff and value their expertise attributed their fundraising success to the teamwork approach. Except for Dr. Beta, the academic deans credited their fundraising achievements to their partnership with their development officer(s). Dr. Delta acknowledged that the deanship entails on-the-job training, and he learned a lot from his development officer, who had a wealth of experience. Their professional relationship made him a successful fundraiser and more comfortable approaching donors. Similarly, Dr. Alpha believes it is essential to build a solid rapport with her development team. She recognizes that development is trusting work. Thus, credibility and trust between academic deans and their development officers is a two-way street.

Development officers have an essential role in educating higher education leaders about leadership's roles in successful fundraising operations (Hodson, 2010). However, development

officers are not all well-versed in providing professional development on philanthropy to academic leadership. They know how to work with potential donors, develop relationships, and collaborate with university leadership. Still, they typically do not know how to conduct professional development for other academic leaders on fundraising. According to Hall (2010) and Holtzman (2006), there is a shortage of trained fundraisers, which grows more severe as the nonprofit sector continues to grow and fundraising becomes more complicated. To effectively represent the institution, development staff need to be highly informed and capable institutional insiders (Weidner, 2008). Additional support and dedicated resources are required so that the fundraising field can proactively meet ever-evolving needs and challenges. In fact, development directors have the potential to share their expertise by designing and implementing professional development so that university leaders, including academic deans, are well versed on best practices in fundraising and on the same page with their development directors. This situation requires that development officers' roles evolve and expand as they lead and collaborate in this work.

In all, fundraising is a shared responsibility among a broad group of institutional stakeholders (Glier, 2004). Therefore, academic deans need to work in tandem with their development team, expand their fundraising team by working alongside faculty members on development, and intentionally create a culture of collaboration.

Faculty as Part of the Fundraising Team

Academic deans need to effectively communicate to faculty members that they are as critical to the college's fundraising success as they are to its academic success (Hodson, 2010; Weidner, 2008). Higher education fundraising is a collaborative effort that involves higher education leaders, community leaders, faculty, and staff (Whitaker, 2005). However, a negative faculty culture about philanthropy has created tensions between faculty and institutional development offices (Hall, 1993; Strickland, 2007; Weerts & Ronca, 2007). As leaders,

academic deans have an obligation to break down the barriers between faculty and the institutional development office.

The academic deans in this study identified faculty members as fundraising partners for several fundamental reasons. First, if faculty are educated and prepared to fundraise when they advance to become academic deans, they will be better prepared to fundraise. Dr. Delta noted that deans need to create a college succession plan. Faculty can begin to develop relationships with donors to provide firsthand information and experience on topics of interest to the donor. Second, academic deans cannot fundraise alone. Fundraising is a team sport, and every member of the institution should understand the importance of fundraising. As mentioned earlier, Dr. Alpha expressed,

> I believe that every member of the organization should believe that there is a big vision behind fundraising, and it's not just about the money. It's sustaining the quality of education for many students that will come to this university.

Third, by involving faculty members in the process of fundraising, preconceived notions on higher education fundraising can be countered. As Dr. Alpha noted and consistent with the literature, building an understanding of fundraising is difficult. Haggerty (2015) stated that many outside the fundraising profession do not understand fundraising or appreciate the role fundraising professionals play. Unless academic deans educate and involve faculty members in the fundraising process, faculty will not understand the process and value its importance (Hodson, 2010; Weidner, 2008). Dr. Gamma explained, "…giving faculty seminars and workshops that have fundraising as a component of training so that they can start demystifying the process of fundraising because it is a process." According to Cleverley-Thompson (2016), academic deans occupy leadership roles that are crucial for implementing a culture of philanthropy that can impact the institution. Still, success depends on the cooperation and support of faculty and other academic leaders. Thus, academic deans can guide and lead

fundraising efforts for higher education institutions by bringing together the faculty and institutional development offices.

Implications for Policy and Practice

Based on the review of literature and the analysis of the data, there are a number of potential implications for academic deans and higher education fundraising practice in this study that warrant additional attention from institutional development offices, academic leadership, and academic deans.

State Funding Declines

In a constrained fiscal environment, public higher education enrollment has increased while state appropriations have decreased over the past two decades. A perfect financial storm was triggered by state funding cuts combined with a shrinking pool of higher education endowments after the Great Recession of 2008 (Drezner, 2011). Private funds now support operating budgets and institutional growth (Worth, 2012; Zusman, 2005). The coronavirus pandemic is radically reshaping higher education institutions while funding has become more precarious (Green et al., 2020). Thus, fundraising is becoming ever more essential for academia to fulfill its mission.

However, philanthropy's role in higher education is just emerging (Keidan, 2014; Proper & Caboni, 2014). With higher education institutions developing more sophisticated fundraising practices, a greater understanding of philanthropy is critical as reliance on voluntary giving increases (Schervish & Havens, 1998). Academia must recognize the importance of philanthropy by educating academic leaders about their leading role in fundraising. A philanthropic gift has a ripple impact on an institution by reaching multiple stakeholders. It can transform student experiences, educational programs, faculty research, and much more. Thus, academic leadership and deans need to understand philanthropy's value in higher education and play a leading role in securing private funds. By having a greater understanding of the academic dean's role in

fundraising and how to best prepare them to fundraise, higher education institutions can tackle the need to increase private support as state funding dwindles.

Donors Becoming More Hands-On

Major donors have changed, creating a new breed of philanthropy. No longer are donors entirely altruistic; they are change agents and want to understand how their investment will impact the institution (Boverini, 2006; Kumashiro, 2012; Marcy, 2001; Merchant, 2014). With major donors becoming more hands-on, the academic dean has a key role in articulating the academic programs' vision and playing a supporting role in being considered the donor's partner (Clevenger, 2014; Drezner, 2011; Hall, 1993; Krahenbuhl, 2004). However, academic deans need to be cautious when creating new donor partnerships. By doing due diligence and being mindful of the donor's underlying goals, the academic dean can avoid letting philanthropic support sway the direction of academic programs. Academic deans need to navigate difficult donor conversations and know when to walk away from potential gifts. For example, in 2019, a $50 million gift was made to George Mason University to promote conservative governance principles. The gift raised controversial concerns about whether the donor was influencing the law curriculum. Academic deans need to be well-prepared to not only fundraise but understand fundraising best practices and policies within the institution to navigate and manage donor relationships effectively and ethically.

Fundraising Staff Turnover

There is continuous turnover in the fundraising profession; many argue that it is an epidemic (Bell & Cornelius, 2014; Iarrobino, 2006). Unlike other professions in higher education, when a development officer leaves an institution, valuable donor relationships could be impacted. According to Nagel (2020), the average tenure for a development officer in higher education is eighteen months. The average cost to replace a development officer is $127,000 in direct and indirect costs. Since fundraising is rooted in developing strong donor relationships, the

loss of a development officer can impede philanthropic support. By developing bonds with donors, academic deans can alleviate a significant loss for the college when development officers leave. Academic deans need to be well-prepared to develop meaningful relationships with donors that will survive the loss of a development officer and vice versa.

Continuity of Deans' Leadership

When academic deans work in tandem with development officers to cultivate and steward donors, they can create a meaningful relationship as a united team. Although deans' appointments can be three to seven years, according to Butin (2016), the average time served is roughly four years. Securing a major gift of six to seven figures could take an academic dean two to three years to cultivate. Therefore, time is of the essence. Academic deans need time to build meaningful relationships with their development officers to portray a united front when working with donors. Additionally, given that academic deanship is the least studied and most misunderstood position in the academy (Gmelch et al., 1999), more research is needed for higher education institutions to understand deans' roles in fundraising and the preparation and professional development required to poise them for success.

Recommendations

The following recommendations for future policy and practice are offered based on the review of literature and the gathering and analysis of the data. The case study findings guide and shape four recommendations for public higher education institutions, directed towards university presidents, provosts, academic deans, and institutional development offices. These recommendations include professional development for new academic deans; participating jointly with a tiered approach for presidents, provosts, and faculty members; setting fundraising expectations in academic deans' appointment letters; and extending the tenure of deanships.

Professional Development for New and Prospective Academic Deans

According to Gmelch and Buller (2015), academic leadership is one of the few professions an individual can enter without training or professional knowledge of essential responsibilities. Both this research and the literature base confirm that the majority of new academic deans do not receive any formal fundraising training or professional development prior to becoming an academic dean (Hall, 1993; Krahenbuhl, 2004; Wolverton et al., 2001). Hence, this researcher recommends that all aspiring and current academic deans receive formal fundraising training and professional development (Coll et al., 2019). Clevenger (2014) emphasized that such professional development includes critical fundraising strategies and techniques and investing in internal and external relationships.

A model for fundraising preparation of new academic deans should include in-house training provided by the university development office. Deans would participate in this professional development opportunity alongside their assigned development officer (Buller 2015; Masterson, 2010). This model will assist deans and development officers to develop and strengthen their collaborative relationship. Topics for professional development would include but not be limited to basics of fundraisings, fundraising best practices, real cases that represent fundraising successes and failures, developing a meaningful relationship with the development team, the institution's fundraising processes and procedures, writing funding proposals with deliverables, navigating donor relationships, tutorials on donor software, and effectively running advisory boards.

Additionally, from the case studies' lessons, the researcher recommends that new academic deans attend a CASE conference with their development officer within the first year of deanship. Reflective of the changing landscape of philanthropy, CASE conferences provide professional development for academic leaders on relevant content related to philanthropy applied within higher education institutions. Providing a collaborative space for academic deans

and their development officers, the CASE conference presents best practices and fresh approaches to produce fundraising success. Since the academic dean and development officer need to work synergistically, this experience of attending a conference together would provide an opportunity to learn together.

Furthermore, recommendations missing from the current literature include that new academic deans continue learning fundraising best practices and sharpening their skillsets throughout their tenure as dean. Grounded in the participants' insights, ongoing fundraising training, and professional development are needed throughout their term. This should be done intentionally and ideally interdisciplinary, if possible, across the higher education institution. Additionally, fundraising training and professional development also needs to extend to developing a collaborative working relationship with university leadership.

Professional Development alongside Leadership and Peers

Like academic deans, most university presidents whose careers have been built as scholars have limited formal knowledge of fundraising (Hartley & Godin, 2009; Kaufman, 2004; Nesbit et al., 2006). According to Shaker and Nathan (2017), within higher education administration, there is a need for greater understanding of the process of fundraising. As a result, professional development should be conducted collaboratively with both deans and higher leadership in the room (Levy, 2004; Slinker, 1988).

Based on the participants' insights, one suggestion emerged: annual professional development for academic deans should occur alongside higher administration, including the president and provost. By learning and working together, academic deans and university leadership can learn to collaborate and communicate with the development office on fundraising goals. More importantly, these leaders can work in tandem to close major gifts for the institution. Hiring outside consultants to lead the annual professional development for academic deans and higher leadership would afford an outsider perspective on growth opportunities in the fundraising

arena. Moreover, consultants are equipped with the expertise and experience to address fundraising challenges in a way that is tailored for the specific institution.

Additionally, academic deans can learn from their peers. Coll et al. (2019) recommended that current and aspiring deans collaborate with other deans regarding fundraising strategies and look for opportunities to share donors. From the case study, participants recommended that having peer support in fundraising is essential, as well as having opportunities to learn from one another's fundraising mistakes. Therefore, during monthly or quarterly university "all deans" meetings, the provost should schedule agenda time to discuss fundraising strategies, challenging donors, and best practices. For each of these two recommendations to be implemented, presidents, provosts, and academic deans will need to take an active role in supporting fundraising for the institution.

Training and Professional Development for Faculty

Based on the literature and the data collected, most faculty members do not have a trusting nature with the university development office (Haggerty, 2015; Strickland, 2007). Most faculty members do not understand fundraising complexity and view development officers as impeding their research (Olson, 2006). According to Eckert and Pollack (2000), the current philanthropic environment requires academics' skills and knowledge to engage prospective and current donors' interests in supporting the institution.

Therefore, based on the lessons learned from this case study, I recommend that fundraising training and professional development be tailored to faculty members. Faculty are the bridge between donors, students, and alumni and are critical partners in the institution's fundraising success (Bennett, 2013). According to Bennett, having everyone working towards advancing the institution is beneficial, but the aspiration falls short when it comes to philanthropy. Faculty members can begin learning the basics of fundraising and become fundraising partners for the institution. A culture of philanthropy among faculty will bring

everyone together to foster shared responsibility. Missing from the current literature is the recommendation for faculty to receive fundraising training and professional development.

Depending on the institution's resources, fundraising trainings can be provided in-house by the development office. However, as noted in the Discussion section, development officers are not trained to conduct professional development and help academic deans, faculty members, provosts, and presidents become effective fundraisers. Therefore, job-embedded professional development models need to be developed both in-house and outside the organization. Not only would the trainings allow faculty members to become more familiar with and establish relationships with the institutional development team, but would afford faculty members opportunities to learn fundraising processes and procedures of the specific university. The trainings should include but not be limited to basics of fundraising, fundraising best practices, real cases that represent fundraising successes and failures, the institution's fundraising processes and procedures, writing funding proposals with deliverables, and navigating donor relationships. Additionally, based on insights of the participants, fundraising trainings for faculty members should occur regularly. The researcher recommends that completion of in-house fundraising training could be tied to pathways to becoming department chair or higher.

Additionally, lessons learned from the four deans' case studies include that those faculty with aspirations to become academic deans should have the opportunity to attend donor meetings with university development officers or academic deans. This opportunity could also reduce demands on the academic dean's limited time. According to Gibson (2014), no longer is having a background in teaching and research enough to be a dean. Faculty need to know what is expected of deans. With this recommendation, faculty members who later become academic deans will be better prepared and equipped to fundraise in higher education institutions.

Setting Fundraising Expectations in Appointment Letters and Extending Deanship

When higher administration leaders set fundraising expectations on day one, academic deans understand what is required to be successful in their role. It also conveys the message that higher administrators are taking an active role in supporting deans to fundraise. According to Gibson (2014), although deans' fundraising roles and expectations are changing, there exists a gap in this change's documentation and communication. Therefore, based on the participants' insights, it is recommended that the dean's appointment letter clearly define fundraising as one of the deanship's primary goals. Furthermore, annual goals for fundraising should be outlined during each academic dean's yearly review.

Additionally, from the participants' feedback, academic deans' appointments for five years can impact an institution's fundraising success. Turnover of academic deans is not healthy for higher education institutions and can ultimately weaken academic integrity and donor relationships (Greicar, 2009). Therefore, I recommend that higher education institutions consider extending the deanship appointment to up to seven years. Most major gifts take years to cultivate and implement. Extending deans' term would give deans time to learn the basics of philanthropy as well as develop stronger donor relationships, resulting in more major gifts for the institution. The extension of their deanship would allow academic deans to oversee the implementation of more fundraising projects and afford academic deans the opportunity to be visionary leaders.

Recommendations for Future Research

The following recommendations for future research are offered based on the review of literature and the gathering and analysis of data. I recommend three specific areas for future investigation.

Future research should first focus on case studies of exemplary fundraising deans that specifically illuminate fundraising best practices as well as failures and missteps. As mentioned earlier, academic deans effectively learn from one another's successes and mistakes. Therefore, it

would be beneficial to provide new academic deans real cases that provide examples of higher education fundraising dos and don'ts. With higher education fundraising becoming more sophisticated, new academic deans can learn from these cases as they embark on their careers and understand fundraising complexities.

Additionally, future research should include the impact of extending deanship appointments. How would lengthening deanships impact the university, their ability to perform, as well as donor retention and fundraising? A longitudinal study could observe academic deans during their deanships to examine fundraising knowledge from entering to exiting the role.

Lastly, to better understand academic deans' preparedness to fundraise, a national survey could be conducted to assess what kind of training should be put in place for academic deans.

Limitations

This study has limitations that should be taken into consideration. The findings of this study were limited by the participants and geography. The researcher solicited recommendations for participants from peers in the SUS. Academic deans selected to participate in this research were recommended on the basis of the perception that they were successful fundraisers. Such a perception can be very subjective. Therefore, the four academic deans studied cannot represent all academic deans in the SUS, nor do they necessarily represent the academic deans who are the most successful at fundraising. Additionally, all participants were selected from the SUS in Florida, therefore the research was limited by geography.

Another limitation was the availability of each academic dean to meet with me during the Covid-19 pandemic. As part of the original research design, each participant would have been interviewed twice, once in-person for sixty to ninety minutes and then through a telecommunication application from sixty to ninety minutes. However, the academic deans' schedules drastically changed to navigate the unpredictable pandemic environment, limiting three of the four academic deans to having all interviews conducted through a

telecommunication application. Furthermore, the interview time was shortened to thirty to forty-five minutes per interview per the participants' request. This was roughly half of the time initially planned for conducting each interview. Conducting in-person interviews for a more extended period of time could have added more depth and time for more probing questions. Additionally, Fontana and Frey (2005) stated that it is difficult for the researcher to build rapport with the participant engaging in virtual interviewing.

Conclusion

The purpose of this study was to examine the academic deans' role in fundraising from the perspective of the deans and to gather insights on how to better prepare academic deans for fundraising. The study used a basic qualitative research design. The findings indicate that, although academic deans generally do not receive formal professional fundraising training, they are expected to fundraise on day one of their deanships.

The four academic deans interviewed obtained most of their fundraising professional development on the job by learning from their own experiences and development officers. The four deans had available varied resources to fundraise, depending on the type of institution. Based on this study, research universities provide more fundraising resources to academic deans than teaching institutions. Academic deans who are visionary leaders and who practice patience and active listening can develop meaningful relationships with donors in the long-term fundraising game. Academic deans cannot do all of the fundraising alone. Therefore, they need to intentionally create a collaborative fundraising culture by building meaningful relationships with their development officers, faculty, department chairs, and upper administration. A strong fundraising culture can also be created amongst peer deans and academic leaders working together to advance the institution's mission. With the changing nature of higher education institutions and evolving environment, fundraising will be needed to meet the funding demands.

This study will help university leaders and academic deans facilitate this shift in fundraising for a new reality.

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APPENDIX A: PARTICIPANT RECRUITMENT EMAIL

Dear (Name),

My name is Lee Anderson and I am a doctoral student at the University of North Florida. I am writing a dissertation on academic deans and their role in fundraising for public higher education institutions. _____ gave me your contact information and I am contacting you because you have been identified as someone who has been successful in higher education fundraising.

As part of my basic qualitative research study, I would like to interview you on your campus or a location of your choice for no more than ninety minutes. With your permission, I would like to tape the conversation.

I would greatly appreciate learning more about your fundraising experiences and perspective as an academic dean. If you are willing to meet, would you please respond to this email or call my cell phone (904) XXX-XXXX. Thank you for your time and consideration!

Warm Regards,

Lee Anderson
Doctoral Candidate
College of Education and Human Services
University of North Florida

APPENDIX B: INTERVIEW PROTOCOL I

Basic Qualitative Research Study – The Role Academic Deans Play in Public Higher Education Fundraising

Time of interview:

Date:

Place:

Interviewee:

Interview Questions

1) What do you enjoy most about being an academic dean?
    a. Early in your career, did you aspire to become an academic dean?
    b. If not, what brought you here?
2) From your perspective, define what successful fundraising is.
3) From your perspective, what do you think makes an academic dean an effective fundraiser?
4) Describe what your role in fundraising looks like during a typical week?
5) What level of involvement are you expected to have in fundraising at your institution?
6) How do you work with your development officer(s)? What are your unique and overlapping roles?
7) Can you discuss the first gift that you secured for the institution? What did you learn from this experience?
8) Can you share a time when you were not successful soliciting a gift? What did you learn from this experience?
9) What are some barriers and challenges academic deans face in terms of fundraising?

APPENDIX C: INFORMED CONSENT DOCUMENT

Hi my name is Lee Anderson and I am a doctoral student at the University of North Florida. I am conducting a research study on academic deans in order to better understand how they impact higher education fundraising.

If you take part in my project, you will participant in two 60-90 minute interviews (1st- face to face and 2nd- either face to face or through Skype). I expect that participation in this study will take about 3 hours of your time. Your responses will be confidential. Only authorized personnel will have access to your responses.

Although there are no direct benefits to or compensation for taking part in this study, others may benefit from the information we learn from the results of this study. Additionally, there are no foreseeable risks for taking part in this project. Participation is voluntary and there are no penalties for deciding not to participate, skipping questions, or withdrawing your participation. You may choose not to participate in this research without negatively impacting your relationship with UNF.

If you have any questions or concerns about this project, please contact me at (904) XXX-XXXX. A copy of this form will be given to you to keep for your records.

If you have questions about your rights as a research participant or if you would like to contact someone about a research-related injury, please contact the chair of the UNF Institutional Review board by calling (904) 620-2498 or emailing irb@unf.edu.

I _____ (print name) attest that I am at least 18 years of age and agree to take part in this research study.

Signature: _____ Date: _____

Thank you for your consideration.

Sincerely,

Lee Anderson Phone: 904-XXX-XXXX

APPENDIX D: INTERVIEW PROTOCOL II (ALPHA)

Basic Qualitative Research Study – The Role Academic Deans Play in Public Higher Education Fundraising

Time of interview: May 14, 2020

Date: 4:00- 4:45 p.m.

Place: Zoom

Interviewee: Dr. Anna Alpha

Interview Questions

1) Please talk about your preparation for your role as a fundraiser in the position of dean.
    a. What professional development did you have on fundraising?
    b. Did this professional development discuss the role and responsibilities of the academic dean to fundraise?
2) In the initial interview, you mentioned that your training as a finance person and your constant curiosity with legal aspects has allowed you to do well in higher education fundraising.
    a. Can you expand on this?
    b. Do you believe deans from colleges of business are better prepared to become fundraisers because of their academic background? If so, why?
3) During the initial interview, you shared that you are deliberate with involving your senior leadership team, faculty, and staff with the fundraising process for your college. How do you think academia should intentionally create more fundraising partners that could potentially become academic deans?

4) What preparation do you think is needed for new academic deans when it pertains to fundraising?
5) With the national average of deanships only lasting five years, what impact does this have on you or other academic deans to fully engage in becoming the best fundraiser for the institution?
6) What additional items would you like to share with me as it pertains to the role academic deans play in fundraising or the preparation in fundraising for academic deans?

APPENDIX E: INTERVIEW PROTOCOL II (BETA)

Basic Qualitative Research Study – The Role Academic Deans Play in Public Higher Education Fundraising

Time of interview: 2:30 p.m.

Date: March 16, 2020

Place: Starbucks

Interviewee: Dr. Bill Beta

Interview Questions

1) Please talk about your preparation for your role as a fundraiser in the position of dean.
    a. What professional development did you have on fundraising?
    b. Did this professional development discuss the role and responsibilities of the academic dean to fundraise?
2) Do you think your life experiences i.e. running university campus in Japan, being selected as ACE fellow, working for the state attorney's office better prepared you to be a good fundraising dean? Can you expand on this?
3) While working with the advancement office with DePaul, what fundraising strategies did you learn?
4) How did you learn that some gifts could "bite you later" if you are not a forward-thinking academic dean?
5) As an academic dean, how did you learn to always have a plan B when soliciting donors?

6) You mentioned that a person with the right pedigree or individual who could speak the right language can fundraise regardless of being new to a community. Can you expand on this?
7) What preparation do you think is needed for new academic deans when it pertains to fundraising?
8) Is there anything else you would like to share with me as it pertains to academic deans and fundraising?

APPENDIX F: INTERVIEW PROTOCOL II (DELTA)

Basic Qualitative Research Study – The Role Academic Deans Play in Public Higher Education Fundraising

Time of interview: 10 a.m.

Date: April 22, 2020

Place: Zoom Meeting

Interviewee: Dr. Dennis Delta

Interview Questions

1) Please talk about your preparation for your role as a fundraiser in the position of dean.
    a. What professional development did you have on fundraising?
    b. Did this professional development discuss the role and responsibilities of the academic dean to fundraise?
2) With the university president and provost assigning academic deans with fundraising goals, please share more about your current fundraising professional development.
    a. Does the university central office provide academic deans and directors of development fundraising workshops? If so, can you share more about them and their frequency?
    b. At deans' meetings, are you and your peers discussing fundraising strategies to work with major gift donors? If so, can you share more about your peer support?
3) During the initial interview, you mentioned involving your chairs to become fundraising partners. How do you think academia should intentionally create more "fundraising partners" that could potentially become academic deans?

4) What preparation do you think is needed for new academic deans when it pertains to fundraising?
5) With the national average of deanships only lasting five years, what impact does this have on you or other academic deans to fully engage in becoming the best fundraiser for the institution?
6) What additional items would you like to share with me as it pertains to the role academic deans play in fundraising or the preparation in fundraising for academic deans?

APPENDIX G: INTERVIEW PROTOCOL II (GAMMA)

Basic Qualitative Research Study – The Role Academic Deans Play in Public Higher Education Fundraising

Time of interview: June 4, 2020

Date: 4:00 - 4:45 p.m.

Place: Zoom

Interviewee: Dr. Gary Gamma

Interview Questions

1) In the initial interview, I asked what do you believe are some barriers and challenges for academic deans? You responded that there can be competition with university advancement and the university's fundraising priorities.
    a. Can you explain this in more detail?
    b. Can you provide an example?
2) In the initial interview, you mentioned that business deans tend to be more willing and prepared to fundraise. Additionally, you shared that business deans can more easily connect to corporations because they see immediate connections.
    a. Can you expand on this?
    b. Do you believe deans from colleges of business are better prepared to become fundraisers because of their academic background? If so, why?
3) Please talk about your preparation for your role as a fundraiser in the position of dean.
    a. What professional development did you have on fundraising?

   b. Did this professional development discuss the role and responsibilities of the academic dean to fundraise?

4) During the initial interview, you shared that you believe successful fundraising takes a teamwork approach. How do you think academia should intentionally create more fundraising partners that could become academic deans for the institution?
5) What preparation do you think is needed for new academic deans when it pertains to fundraising?
6) In the initial interview, you shared that as VP of advancement you provide fundraising training to the academic deans. Can you explain this in more detail?
   a. How often does the training occur?
   b. Is the training only for academic deans or do the development officers attend with the deans?
   c. Are the academic deans discussing fundraising strategies to work with major gift donors?
7) With the national average of deanships only lasting five years, what impact does this have on you or other academic deans to fully engage in becoming the best fundraiser for the institution?
8) What additional items would you like to share with me as it pertains to the role academic deans play in fundraising or the preparation in fundraising for academic deans?